



Annex <Input Ltr>

<Input Name of Department>

State of Iowa

Continuity of Operations (COOP)

&

Continuity of Government (COG)

Implementation Plan

<Input Date>, 2005

INSTRUCTIONS FOR THE USE OF THIS COOP/COG PLANNING TEMPLATE:

STOP if you have not read the “State COOP/COG Planning Guidance” document. If you have read that document, you may continue.

In an effort to assist each department in the development of their individualized Continuity of Operations (COOP)/Continuity of Government (COG) Plan, we have developed this template to assist in the documentation, writing and implementation of those plans.

Text that is provided is intended to serve as ‘boilerplate’ information and to serve as a standardized format/outline. Each department has the option of editing text to suit its specific needs. However, departments will not change the basic format/outline, as we desire to standardize plans between all departments.

Text that is highlighted in yellow is provided for instructional purposes or to identify department inputs. Once you have completed the inputs and instructions are no longer necessary, it is to be deleted, or un-highlighted as appropriate.

Additionally, some sections may be highlighted in yellow as a point of reference. Each department must determine if it is applicable to them, and if so, complete that section. If not, it should be deleted.

As you proceed through this template, you will be required to understand the associated planning guidance provided in the “State COOP and COG Planning Guidance” document. Have it available to reference as you complete this template.

FOREWORD

Iowa State departments and commissions have the responsibility for the safety of their employees and an obligation to the people of the State and Nation to be able to continue to operate in a prudent and efficient manner even in the circumstance of an impending or existing threat.

On March 3, 2005, Governor Vilsack signed Executive Order Forty requiring all State executive branch agencies to prepare a Continuity of Operations (COOP) and a Continuity of Government (COG) plan. The purpose of continuity planning is to ensure survival of a constitutional form of government and the continuity of essential functions. Additionally, COOP and COG planning is conducted in Iowa to ensure the State's ability to deliver essential services under any circumstances.

The historical need for Continuity of Government and Continuity of Operations Plans is traced back to Presidential Decision Directive (PDD) 67. Although PDD 67 specifically addresses Federal agencies, a similar necessity lies within State Government. There are two specific references related to this type of planning. Iowa Code, Chapter 29C.5 and 29C.8 both require comprehensive evacuation planning. In addition, the Iowa Severe Weather and Emergency Evacuation Policy, adopted December 2001, states: *"It is the Governor's philosophy that there must be plans to ensure that state government can operate under exceptional circumstances. Therefore, executive branch departments must deploy plans to ensure staffing and provisions of essential services to the public during severe weather or emergency closings."*

Recommended changes to this document should be addressed to the <Title of Official>, <Name of Department>, at <(515) xxx-xxxx>.

<Name of Official>

<Title of Official>

<Department>

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PROTECTION OF SENSITIVE SECURITY INFORMATION (SSI)

The components of the agency or enterprise-wide state COOP/COG plans that inventory infrastructure, facilities, and systems; assess the criticality, vulnerability, and level of threat to these assets; and address mobilization, deployment, and tactical operations involved in responding to or protecting these assets are confidential when submitted to and/or held by HLSEM. These components may be considered part of the state's critical asset protection plan and shielded from public disclosure under the current terms of Iowa Code 22.7 (47).

SECTION I – EXECUTIVE SUMMARY

This plan provides the focus and priorities for <name of department> planning efforts, planning assumptions, specific guidance, a standardized format, and instructions for implementation of the department Continuity of Operations (COOP)/Continuity of Government (COG) Plan.

The <Name of Department> goal is to implement a comprehensive and effective program to ensure the continuity of operations of the department under all circumstances. As part of this effort, the Iowa Homeland Security and Emergency Management (HLSEM) Division will serve as the focal point for all planning and coordination among State agencies to develop viable department plans that ensures an enduring constitutional government and continuity of operations through a full range of potential threats and emergencies.

<Departments should customize with any recent history of crisis or emergency within your department. >

Iowa has experienced 18 major disasters, both human and nature induced, since 1989; 16 of which have resulted in the Presidential declaration of a major disaster. Perhaps the most defining natural disaster in the State of Iowa, in recent history, has been the floods of 1993. During that summer, it rained at several locations within the State each day for 130 consecutive days. Some areas of the State flooded more than five times. Flooding resulted in 17 fatalities and more than \$2 billion in damage. Over 10,000 people were evacuated from their homes and 21,000 homes were damaged, others completely destroyed. In addition to natural disasters, catastrophic events occurring from other causes, such as terrorism and man-made systems, have increased in frequency and severity. Another recent example was the largest power outage to hit the State in over 30 years. It struck an area stretching from Ohio to Oklahoma in August of 2003. Today, our government faces a challenge unlike any before. These large-scale disasters exemplify the limitations of the resources and services that government can provide.

The fundamental mission of every Iowa State Government department is reliability. Agencies provide vital services to the people of Iowa and the cessation of these services can have a devastating effect on individuals, the State or the Nation. In the absence of a COOP and COG Plan, a department cannot fulfill its mission should a crisis of any scale disrupt essential department operations.

Simply put, COOP and COG Planning is a necessary “good business practice.” For years, such planning had been the responsibility of an individual department, focusing primarily on the response to emergencies within the confines of the organization. The content and structure of these plans, operational standards and inter-department coordination, if any, were left to the discretion of the department. However, recent natural catastrophes and acts of terrorism have given government a better understanding of department inter-relatedness, and consequently shifted awareness to the need for ensuring continuity of essential government functions across the State.

<Each department should individualize the executive summary to meet the requirements and intent of your Director>.

<Note: Some of the text in the guidance document will also be found in this planning template. It is intended to serve as basic ‘boilerplate’ information that ‘may’ apply to your department/agency COOP/COG plan. When you review this information, feel free to edit and/or customize that information to fit your department/agency>.

SECTION II – OVERVIEW

A. INTRODUCTION

This Continuity of Operations (COOP) and Continuity of Government (COG) Plan provides guidance for personnel of the <Name of Department> to ensure the organization maintains the capability to fulfill all of its assigned essential functions during all contingencies. COOP Planning is the effort to ensure the continued performance of essential government functions during a wide range of potential emergencies. Whether the hazard is the result of a natural or human-induced event, an “all hazards” approach assures that, regardless of the emergency, essential functions will continue.

COOP/COG Plans are designed to be applicable in a wide variety of emergencies. Threats can vary from naturally occurring events to man-made incidents and telecommunication or power failures. While bombs and fires capture the headlines, almost 90% of emergencies are “quiet catastrophes.” These seemingly low profile disasters have as great a potential to disrupt the department and cause problems, as do the high visibility cataclysmic events.

B. PURPOSE

This document establishes the <Name of Department> COOP Plan in the event the organization is threatened or incapacitated and the relocation of selected personnel and functions is required. It also provides policy and guidance to ensure the execution of <Name of Department> essential functions.

The purpose of developing this plan is to provide a contingency operating structure for <Name of Department> in the event of a failure of the critical systems, services, supplies and/or infrastructure on which government operations are dependent under normal conditions. This plan describes *why* such an operating structure is necessary and provides an overview of *what* it contains.

The objective of this plan is to ensure the execution of essential functions during any crisis and to provide for the safety and well being of Iowa government employees and visitors during any emergency in which the operations at the <Name of your Building> in <Des Moines (or other location)> is threatened or not accessible.

The objectives of this plan include:

- i. Ensuring constitutional government by requiring the head of each governmental department, division and bureau to ensure the continuity of essential functions in any emergency by providing for: succession to office and emergency delegation of authority in accordance with applicable law, regulation or policy;
- ii. Ensuring the continuous performance of an agency’s essential functions and operations during an emergency;
- iii. To provide a means for information coordination with respect to the operating environment of State Government throughout the state, and for reporting and documenting the changes in this environment as they occur;
- iv. To establish mechanisms for adapting this plan and department-level continuity plans, and their associated priorities and activities, to best fit a changing environment;
- v. To ensure that this plan, and all agency-level continuity plans, remain compatible with the Iowa Emergency Plan;
- vi. Protecting essential facilities, equipment, records, and other assets;

- vii. Reducing or mitigating disruptions to operations;
- viii. Reducing loss of life and minimizing damage and losses;
- ix. Achieving a timely and orderly recovery from an emergency and resumption of full service to customers;
- x. Achieving a timely and orderly recovery from an emergency and reconstitution of normal operations that allows resumption of essential functions for both internal and external clients; and
- xi. Ensuring and validating COOP readiness through a dynamic, integrated test, training, and exercise program to support the implementation of COOP Plans.

The key elements of the department COOP/COG Plan include:

- i. Plans and Procedures
- ii. Essential Functions
- iii. Delegations of Authority
- iv. Orders of Succession
- v. Alternate Operating Facilities
- vi. Interoperable Communications
- vii. Vital Records and Databases
- viii. Human Capital
- ix. Testing, Training & Exercises
- x. Devolution of Control and Direction
- xi. Reconstitution
- xii. Responsibilities
- xiii. Security
- xiv. Logistics, Administration and Program Management

The following COOP and COG considerations are incorporated into this plan.

- i. Alternative Modes of Operation Under Conditions of Uncertainty
- ii. Vital Systems and Equipment
- iii. Hardware/Software Requirements
- iv. Communications Requirements
- v. Advance Preparations of the Alternate Facility So COOP Can Be Activated

- vi. Primary and Alternate Facility Occupancy and Resumption Plans
- vii. Internal Reporting Requirements
- viii. Agreements with Other State Agencies
- ix. Goal of Providing Essential Functions:
 - a. Must be maintained at a high level of readiness;
 - b. Must be capable of execution both with and without warning;
 - c. Must be operational no later than twelve hours after activation;
 - d. Must maintain sustained operations for at least fourteen days; and
 - e. Should take maximum advantage of existing agency field infrastructures.

C. APPLICABILITY AND SCOPE

This Integrated COOP/COG Plan provides guidance for the preparation and implementation of the <Name of Department> COOP/COG Plan. This applies to the functions, operations and resources necessary to ensure the continuation of <Name of Department> essential functions and constitutional government if normal operations are disrupted or threatened with disruption and applies to all <Name of Department> employees.

This plan will be activated in the event that the <Name of your> building or a portion of it is involved in a crisis or an emergency, or is declared unusable for normal operation.

This plan addresses essential function resumption and recovery in a crisis or emergency situation as indicated above. It does not address building emergency and evacuation procedures or on-site resumption and recovery procedures. Actions related to the physical restoration process, in terms of primary site restoration, recovery de-activation, migration and re-establishment of normal operations, termination/shutdown of recovery operations at alternate sites and post-recovery operations are addressed in the tasks of the Emergency Relocation Group (ERG) Special Teams.

D. SUPERSESSION

This document updates all previous <Name of Department> COOP and COG Plans.

SECTION III – AUTHORITIES, REFERENCES AND RESPONSIBILITIES

A. AUTHORITIES

- i. Iowa Constitution
- ii. Homeland Security in Iowa – January 2003
- iii. State Continuity of Operations (COOP) Plan – June 2003
- iv. Capitol Complex Plan – December 2003
- v. Information Management Section – Emergency Response Team “Business Continuity Plan” – June 2003
- vi. State Recovery Plan – June 2003
- vii. Iowa Hazard Analysis & Risk Assessment and Hazard Mitigation Plan – May 2003
- viii. Iowa Code 2001 Section 304.3 State Records Commission
- ix. Iowa Code Chapter 29 C, Sections C.5 and C.8
- x. Iowa Emergency Response Operations Plan – March 2003
- xi. Iowa Severe Weather and Emergency Evacuation Policy - December 2001
- xii. Iowa COOP/COG Benchmark Report – December 2004
- xiii. Governor’s Executive Order #40 – March 3, 2005

B. REFERENCES

- i. The National Security Act of 1947, dated July 26, 1947, as amended;
- ii. Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, et seq.);
- iii. The Homeland Security Act of 2002, PL 107-296, enacted November 25, 2002;
- iv. Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities dated November 18, 1988, as amended;
- v. EO 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984;
- vi. EO 12148, Federal Emergency Management, dated July 20, 1979, as amended;
- vii. Presidential Decision Directive (PDD) 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998;
- viii. PDD 63, Critical Infrastructure Protection (CIP), dated May 22, 1998;

- ix. PDD 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998;
- x. PDD 39, US Policy on Counter-terrorism, dated June 1999;
- xi. Federal Preparedness Circular (FPC) 65, Federal Executive Branch Continuity of Operations (COOP), dated June 2004;
- xii. Homeland Security Presidential Directive (HSPD) 3, Homeland Security Advisory System (HSAS), March 12, 2002;
- xiii. HSPD 5, Management of Domestic Incidents, March 12, 2002;
- xiv. HSPD 7, Critical Infrastructure Identification, Prioritization and Protection (CIP), dated December 17, 2003;
- xv. HSPD 8, National Preparedness, dated December 17, 2003;
- xvi. 44 Code of Federal Regulations (CFR) 44 Part 2, Mission, Organizational Units, Functions and Delegations of Authority, dated October 1, 1997;
- xvii. 41 CFR 101-2, Occupant Emergency Program, revised as of July 1, 1998;
- xviii. 36 CFR 1236, Management of Vital Records, revised as of July 1, 1998;
- xix. National Institute for Standards and Technology (NIST) SP 800-34 Contingency Planning;
- xx. National Response Plan, 9230.1-PL, December 2004; and
- xxi. FEMA HQ Occupant Emergency Plan (OEP) pamphlet, FEMA Publications Office, March 2003.

C. RESPONSIBILITIES

In support of <Name of Department>, each division/bureau chief, or his/her designee, will identify and maintain essential functions and the individuals to support them, consistent with State and department guidance. Although the division/bureau chief may delegate these tasks, the head of each division/bureau should regularly monitor and be appraised of COOP team efforts. Moreover, there should be close coordination between department management and the department ERG team responsible for COOP Planning, regardless of its make-up.

- i. State Level Responsibilities
 - a. Governor
 - 1. Proclaim a State of Emergency, as appropriate, during periods of crisis; and
 - 2. Conduct statewide Emergency Public Information Program in conjunction with COOP/COG activities.
 - b. Administrator, Homeland Security & Emergency Management Division
 - 1. In coordination with the Governor's office, direct and control State resources in support of COOP/COG Planning and implementations;

2. Provide necessary COOP and/or COG information, updates, or briefings to the Governor and appointed public officials;
 3. Notify Federal agencies, as appropriate, of the implementation of COOP/COG Plans;
 4. Maintain a current copy of each department, division, or separate agency COOP/COG Plans;
 5. Integrate COOP/COG training and exercises into the State Homeland Security Exercise and Evaluation Program (HSEEP); and
 6. Provide amplifying guidance to State agencies, as required.
- c. The Adjutant General
1. In coordination with the Director, Department of Public Safety, protect critical infrastructure that supports the implementation of COOP/COG Plans statewide.
 2. In coordination with the Administrator, Homeland Security & Emergency Management Division, assist in the implementation of COOP/COG Plans statewide.
 3. Coordinate and direct the use of Iowa National Guard resources.
- d. Director, Department of Public Safety
1. Provide security to the Governor, other elected officials, or key personnel as directed;
 2. Analyze threats and intelligence received at the State Government level, coordinate and share information (as appropriate) with State agencies; and
 3. Provide a safe and secure environment preceding and immediately following the implementation of COOP/COG Plans.
- e. Department of Administrative Services
1. General Services Enterprise
 - A. Maintain vendor lists, including emergency contact information, for potential private sector providers of critical disaster-response-related resources;
 - B. Monitor the status statewide of buildings and other infrastructure owned or otherwise under the control of State Government;
 - C. Locate and obtain the use of facilities for office relocation, staging areas, forward command posts, temporary warehousing and other emergency/disaster-related purposes;
 - D. Provide advice to State agencies with respect to emergency/disaster-related purchasing activities; and

- E. Provide priority State vehicle allocation services for emergency/ disaster-related use.
- 2. State Accounting Enterprise
 - A. Modify or create financial management-related policies or procedures, when necessary to meet emergency/disaster response needs or track disaster-related expenditures.
- 3. Information Technology Enterprise
 - A. Provide information about the status of State information technology systems; and
 - B. Provide statewide information-assurance capabilities.
- 4. Human Resources Enterprise
 - A. Assist departments with procuring emergency/disaster-related personnel services when capabilities to do so have been overwhelmed;
 - B. Provide advice to State agencies with respect to emergency/disaster-related personnel procurement activities; and
 - C. Provide information to State employees and their families.
- f. Department of Commerce
 - 1. Provide information and recommendations, either periodically or upon request, about the options for restoring emergency/disaster-affected utility infrastructure and/or utilizing temporary infrastructure alternatives.
- g. Department of Cultural Affairs
 - 1. Provide technical guidance to facilitate proper handling, salvaging and reconstruction of records, artifacts, publications and buildings during the response to an emergency or disaster.
- h. Department of Human Services
 - 1. Establish and implement a victim welfare inquiry process for use during and after the emergency/disaster; and
 - 2. Provide stress management and mental health services for victims and state employees.
- i. Each Department Director
 - 1. Appoint a COOP and COG coordinator/POC;
 - 2. Develop department specific COOP/COG Plans in compliance with all guidance and instructions contained in the document;
 - 3. Coordinate with HLSEM and appropriate State, local and private agencies in the development of COOP/COG Plans;

4. Designate personnel for COOP ERG specialty teams;
 5. Instruct COOP and non-COOP personnel on duties and responsibilities associated with these plans;
 6. Schedule and conduct periodic training and exercises relating to the execution of this COOP Plan (see Section IX for additional guidance and instructions);
 7. Direct and control department resources during COOP/COG activation;
 8. Provide required reports and information to the SEOC in accordance with established schedules and procedures;
 9. Update COOP/COG Plans and supporting documents annually, at a minimum (see Section X for additional guidance and instructions); and
 10. Provide the Administrator, HLSEM a current copy of your department COOP/COG Plan.
- j. State Government departments that provide resources to HLSEM in times of crisis or emergency will.
1. Coordinate with HLSEM for the provision of resources in external support of COOP/COG Planning and implementation; and
 2. Consider the impact and requirement; of providing these resources during the development of your department specific COOP/COG Plans.
- ii. Department Level Responsibilities
- a. Each Division/Bureau Chief will complete the following: <Department Directors will incorporate additional guidance for Division/Bureau chiefs, as necessary>
 1. Appoint a COOP and COG coordinator/POC from your Division/Bureau;
 2. Designate personnel for COOP ERG and specialty teams;
 3. Direct and control Division/Bureau resources during COOP/COG activation;
 4. Instruct COOP and Non-COOP personnel on duties and responsibilities associated with these Plans;
 5. Provide required reports and information to the Department COOP/COG coordinator; and
 6. Update Division/Bureau COOP/COG supporting documents annually, at a minimum.
 - b. Divisions/Bureaus that provide resources to HLSEM in times of crisis or emergency will:
 1. Coordinate with the department COOP/COG coordinator and the HLSEM Division for the provision of resources in external support of COOP/COG Planning and implementation for other departments; and

2. Consider the impact and requirement, of providing these resources during the development of your Division/Bureau specific COOP/COG requirements.

SECTION IV – STRATEGIC PLANNING

This section will address those areas that directly impact on the department's ability to think and act strategically. The areas covered include: policy, multi-year strategy, program management, planning assumptions, and planning requirements for alternate work facilities.

D. POLICY STATEMENT

The State of Iowa and <Name of Department> recognize and acknowledge that the protection of its assets and business operations is a major responsibility to its employees and to the communities it serves. Therefore, it is a policy of the State of Iowa and <Name of Department> that a viable Continuity of Operations (COOP) and Continuity of Government (COG) Plan be established and maintained to ensure high levels of service quality and availability.

It is also a policy of The State of Iowa and <Name of Department> to protect life, information and equipment, respectively, in that order. To this end, procedures have been developed to support the resumption of time-sensitive business operations and functions in the event of their disruption at <Name of Department>. The <Name of Department> is committed to supporting service resumption and recovery efforts at alternate facilities, if required. Likewise, <Name of Department> and its management are responsible for developing and maintaining a viable COOP/ COG Plan that conforms to acceptable insurance, regulatory and ethical practices and is consistent with the provisions and direction of Iowa strategic and tactical plans.

<Department Directors will incorporate specific department policy statements in this section. Refer to planning guidance for specifics.>

E. MULTI-YEAR STRATEGY

<Department Directors will incorporate designated Strategy in this section. Refer to planning guidance for specifics. Put appropriate strategies identified from Guidance in the space below.>

F. PROGRAM MANAGEMENT PLAN

Management of the department plan rests with the department headquarters. The department's duties include coordinating division and bureau COOP activities; providing guidance to divisions and bureaus in the development of COOP Plans; chairing a department COOP Working Group, which serves as the principal interagency forum for discussion of COOP matters and for dissemination of information to divisions and bureaus; coordinating interagency COOP exercises; and conducting periodic assessments of department COOP capabilities and reporting the results to the Homeland Security Emergency Management (HLSEM) Division and Governor.

The scope of administration duties and responsibilities includes, but is not limited to, the continued endorsement of the plan through the mandatory, documented review of the plan by <Name of Department> management and team members, on no less than an annual basis. A report on the plan's administration is to be presented/submitted to department senior management annually or as otherwise required. The <Name of Department> COOP/COG Coordinator is responsible for the administration of the plan. The COOP/COG Coordinator will ensure that State and <Name of Department> standards and procedures are developed to address plan administration needs. The COOP/COG Coordinator will also include any relevant, related documentation in the plan. As custodian and administrator of the <Name of Department> COOP, the COOP/COG Coordinator must have a thorough knowledge of all plan contents.

As a further safeguard, the COOP/COG Coordinator should never be the sole person in the organization with extensive knowledge of the structure and contents of the plan; an alternate COOP/COG Coordinator should be a full participant in all plan maintenance and exercise

activities. Responsibility for maintaining specific sections of the <Name of Department> COOP/COG resides with each ERG Special Team Leader in accordance with the Team's objectives and functional responsibilities for response, resumption, recovery and restoration. Team Leaders must ensure compliance with these documented procedures for plan administration. Each <Name of Department> employee, regardless of their role as a team member, is responsible for providing updated personal contact information to the COOP/COG Coordinator as changes occur.

<Name of Department> employee is responsible for the maintenance of <Name of Department>'s capability to respond and resume operation following a disaster. Some individuals will have more direct responsibility than others will. Nevertheless, each individual must be aware of the necessity for the preservation of such a continuity capability and must perform to the utmost to ensure that the response, resumption, recovery or restoration capability is truly viable. Should a plan review necessitate changes or update, the COOP/COG Coordinator is responsible for implementing the changes and issuing updated documentation. Individuals in responsible management positions will be called upon periodically to provide information necessary for maintaining a viable plan and an exercised continuity capability.

G. PLANNING ASSUMPTIONS

The relationship of <Name of Department>'s COOP Plan to the Iowa Emergency Plan: Emergency situations may arise while State Government is operating under the COOP Plan. Such emergency situations may or may not be a result of the factors that triggered the activation of the COOP Plan. In all cases, emergency situations for which assistance has been requested are to be responded to in accordance with the provisions of the Iowa Emergency Plan. The <Name of Department>'s COOP Plan is designed to work in concert with the Iowa Emergency Plan, and is considered a part of the Iowa Emergency Plan.

It is recognized that the type and magnitude of the effects of a diminished environment cannot be predicted with certainty. Therefore the scope of this plan and the associated agency plans is broad, and is intended to encompass a variety of potential failures.

It is assumed that no division or bureau will direct the implementation of their respective COOP/COG Plans without coordination and approval of department headquarters and coordination with the HLSEM.

During a COOP/COG event, office operations and activities will not be "business as usual." These assumptions include what threats will affect the department's ability to carry out its mission; the expected impact on each division or bureau for each potential threat; the probability that each potential threat will occur; whether personnel or resources from other State agencies, municipalities or organizations not affected will be available; that the department will implement the plan within twelve hours after the event; and that the plan will provide for the ability to continue operations for at least thirty days after the emergency. For planning, the following guidelines and priorities were used:

- i. The level of documentation in the plan assumes and requires that <Name of Department> management and staff are familiar with <Name of Department>'s missions, goals, functions, supporting tasks, its automated technology and the requirements of the <Name of Department> COOP/COG Plan.
- ii. Essential functions have been prioritized based on the emergencies or threatened emergencies that can adversely impact the department's ability to continue to support essential functions and provide support to the operations of clients and external agencies.
- iii. Emergencies and threatened emergencies differ in priority and impact and will depend on each given situation. In general, priority has been given to responding to threatened

emergencies in order to 'prevent or mitigate' the emergency. If an emergency has already occurred, priority will be given to life-safety.

- iv. The degree of risk associated with each department/division/bureau depends on the probability of an event occurring, current vulnerabilities and the impact that event could have on operations.
- v. Threat assessments have been completed and reviewed by appropriate department staff.
- vi. Vulnerability assessments have been completed and reviewed by appropriate department staff.
- vii. Priority will be given to reducing risk in an effort to preclude having to implement COOP/COG Plans.
- viii. Most likely scenarios/events this plan addresses:
 - a. Utilities failure: (electric, gas, fuel oil, etc.)
 - b. Fire
 - c. Storm or Flood
 - d. Workplace Violence
 - e. Hazardous Materials Release
 1. Chemical
 2. Biological
 - f. Bomb Threat
 - g. Explosion
- ix. Sufficient management and staff, familiar with and trained in the procedures and tasks in this plan, will be available subsequent to the interrupting event to execute their recovery responsibilities and to support the restoration effort. <Name of Department> personnel understand that, following a major interruption of services/operations; it will not be a matter of "business as usual" but "survival". Department and non-department personnel and resources located outside the area affected by the emergency or threat will be available as necessary to continue essential functions.
 - a. Priority will be given to existing State owned or operated field facilities for selection as alternate work sites.
 - b. Additional alternate work-sites may be acquired, and designated, by the Department of Administrative (DAS) once it is determined that sufficient space is not available at State owned or operated field facilities.
- x. When a COOP or COG event is declared, the department will implement a predetermined plan using trained and equipped personnel. Furthermore, each division/bureau must ensure timely coordination with the department COOP/COG coordinator.

- a. Additional department/division/bureau staff will be deployed in phases to the alternate worksite as needed.
- b. Other department/division/bureau staff may remain on standby until deployed to some other facility or duty station, and/or be assigned work to be accomplished at home.
- xi. Initially, only COOP/COG personnel will deploy to the alternate worksite until they have confirmed it is ready to receive other department/division/bureau personnel and prepared to assume operations.
- xii. This plan assumes that <Name of Department> will have access to and use of sufficient alternate sites within the State of Iowa environment to meet its essential functions recovery time objectives.
- xiii. All required vital record documentation and data files that would be necessary for resumption and recovery purposes are backed up and stored/located safely away from the <Name of Department> using a storage and/or rotation schedule that minimizes information and data loss.

<Department Directors may add, modify or delete the information provided above as necessary>

H. PLANNING REQUIREMENTS FOR ALTERNATE WORK FACILITIES

(See Appendix B for details)

SECTION V – ESSENTIAL FUNCTIONS AND/OR CRITICAL SERVICES

Essential Functions (EF) are defined as those functions that must be conducted within the first 30 days following a crisis or emergency, that enable state government departments to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, and sustain the industrial and economic base in an emergency. Each Essential Function, in turn, is supported by critical tasks that must be accomplished to fulfill the requirements of the function. Subsequently, each supporting critical task requires personnel & special skills, equipment & systems, infrastructure, vital records and data, and time to accomplish each task.

A. PRIORITIZED LISTING OF ESSENTIAL FUNCTIONS

The Department Prioritized listing of Essential Functions was established using the State Continuity of Operations (COOP) and Continuity of Government (COG) Planning Guidelines:

- i. Priority Determined by Director, <Name of Department>
- ii. Tiered Priority
- iii. Criticality Based On Time

Worksheet – <Name of Department> Consolidated & Prioritized Listing of Essential Functions

Priority	Tier	Criticality	Function	Division/Bureau	Impact of Failure	Potential Costs
1	<Input>	<Input>	<Input>	<Input>	<Input>	<Input>
2	<Input>	<Input>	<Input>	<Input>	<Input>	<Input>
3	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
4	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
5	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
6	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
7	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
8	<Input>	<<Input>	<<Input>	<<Input>	<<Input>	<<Input>
9	<Input>	<Input>	<Input>	<Input>	<Input>	<Input>
10	<Input>	<<Input>	<Input>	<Input>	<Input>	<Input>

<Department planners need to complete the graph and list 'all' department essential functions>

B. PRIORITIZATION PROCESS

(See worksheets located in Appendix A)

C. STATE CONSOLIDATED AND PRIORITIZED LISTING OF ESSENTIAL FUNCTIONS

In assessing the essential functions of the Iowa State Agencies and Departments, a self-preservation perspective was taken to ensure continuity of operations of the Iowa state government. These essential functions were ranked, tiered and then grouped according to three main progressions consistent with aspects of a response following a major event. Furthermore, their criticality was assessed based on their necessity in terms of a statewide response.

The essential functions are prioritized into three distinct classifications: functions necessary for the emergency response, interagency coordination and support functions, and functions involving the resumption of services to citizens (outside of the emergency response). The response functions are those that are necessary immediately after a major event and are priorities in terms of the state government’s emergency coordination and survival. These include areas such as executive administration from the Governor’s Office and emergency response and activation of COOP/COG plans from HLSEM. Once these response-related essential functions are assured, the focus shifts to interagency coordination functions. As part of interagency coordination, resources will be coordinated between all state agencies; IT and vital records are secured, alternate facilities are occupied, and information sharing efforts are underway. As part of continual interagency coordination, fiscal operations will be a priority in the capacity of statewide accounting and funding the emergency response.

Upon successful continuation of response and interagency coordination functions, sustainable citizen services are allowed to resume. These services include normally available functions not related to the emergency and COOP/COG procedures after an event. All departments and agencies will make an effort to fulfill their unmet needs and essential functions in the course of these essential function priorities.

Worksheet - State Consolidated and Prioritized Listing of Essential Functions

Department/Agency	Function
Response Actions	
Governor's Office	Executive administration.
HLSEM	Alert and notification.
All Agencies	Activation of COOP/COG and other Emergency Plans.
All Agencies	Provide a Liaison to the SEOC.
Interagency Coordination	
All Agencies	Interagency and resource coordination.
Communications Network, Information Technology Enterprise	IT and vital records maintenance.
Administrative Services	Alternate facilities (identification, maintenance, direction).
Governor's Office, Public Health	Public information and public health.
Revenue, State Accounting Enterprise, Treasurer	Fiscal operations.
Service Providing	
Service Providing	Provision of other unmet needs or essential functions.

SECTION VI – CONCEPT OF OPERATIONS

This section addresses the three primary phases of a Continuity of Operations (COOP) Plan: Activation and Relocation, Alternate Facility Operations, and Reconstitution and Return to Normal Operations (Restoration). The fourth phase listed at the end of this section, Reconstitution and/or Long-term Recovery, covers the period after the thirty-day window COOP planning requirement, and therefore is not discussed.

A. PHASE 1: ACTIVATION AND RELOCATION

- i. Warning/Intel Background and COOP Alert - Emergencies, or potential emergencies may affect the ability of <Name of Department> to carry out essential functions. Based upon initial notification of an incident, the following scenarios could mandate the activation of the <Name of Department> COOP Plan.
 - a. <Name of Department> HQs is closed to normal business activities as a result of an event (whether or not originating in the building) or credible threats of action that would preclude access or use of the building and the surrounding area.
 - b. The area is closed to normal business activities as a result of a widespread utility failure, natural disaster, significant hazardous material incident or civil disturbance.
- ii. Incident Alert
 - a. Initial notification of an incident or situation is expected to come directly from the Homeland Security Emergency Management (HLSEM) Division or a <Name of Department> staff member. Other potential sources of incident notification might be law enforcement, the fire department, a private security service and/or the news media, etc.
 - b. If you are the first employee to become aware of an emergency situation at the <Name of Department> work site it is important that you contact the members of the <Name of Department> management team and ERG about the emergency incident as soon as possible.
 - c. Once notified, the <Name of Department> management team and ERG will begin emergency response activities and alert other members of the <Name of Department> management team and ERG. Initial attempts to contact the department management team and ERG will not exceed two hours. After that time, the <Name of Department> management team and ERG leader will list the names of individuals that could not be contacted and assign someone else to continue the notification process and/or to temporarily assume the individuals assigned responsibilities.
 - d. General Alert Goal: All affected staff, visitors and others who interact with <Name of Department> will be properly notified that the <Name of Department> COOP Plan is in effect – within two hours of initial notification.
- iii. Incident Alert Procedures <Incorporate any changes to the sample text identified in the planning guidance below.>
 - a. If you receive a call notifying you of an emergency incident or situation, write down the message.

- b. Repeat the message back to the caller to verify its accuracy.
 - c. Request that the individual making the notification meet the <Name of Department> management team and ERG at the incident site. Provide an estimated time of arrival. (If applicable)
 - d. If you are the first person notified, contact <Name of Department> facilities management to verify the reported emergency incident or notification.
 - e. Notify the <Name of Department> management team and ERG.
 - f. Read the information received to each person you call, briefly stating the nature of the problem and the time of the reported incident. Do not speculate on injuries or damage to avoid possible confusion.
 - g. Instruct each person you contact to proceed to the pre-determined emergency meeting site or other designated location. Determine each person's estimated time of arrival.
 - h. Instruct all individuals contacted to avoid making comments to news media, customers, vendors, etc. An official <Name of Department> - designated spokesperson will provide the news releases to the press, news media, etc.
 - i. Give instructions to each contacted individual as to what is expected of them, (e.g. report to the emergency response site, stand by for further instructions, etc.). Activate only the employees needed immediately, and prepare a notification list and contact schedule for other individuals, if required.
 - j. Maintain a record of all calls attempted and completed. Report the notification results to the <Name of Department> management team and ERG.
- iv. Notification Guidelines: The notification process is intended to allow <Name of Department> personnel to transition smoothly to an alternate site and continue the execution of essential functions across a wide range of potential emergencies.
- a. An announcement of <Name of Department> COOP Plan activation that directs ERG staff members to report to the alternate site will be made.
 - b. Provides instructions for time of movement, reporting, and transportation details. See Appendix D and E for agency contact/notification rosters.
 - c. All Team Leaders and Team Members have been assigned call tree responsibilities to be followed during the emergency notification. The <Name of Department> management team and ERG will determine if department sites who perform time-sensitive functions should be notified and a disaster situation declared based on the preliminary assessment of the situation.
 - d. If the emergency notification procedures are initiated, each team leader will be responsible for contacting their alternate team leader and team members with specific instructions. If the team leader is not available, the alternate team leader will assume the team leader's responsibilities.
 - e. In the event the alternate team leader is also not available, the <Name of Department> management team will assign someone to complete the

notifications until the primary or alternate team leaders become available and resume their responsibilities.

- f. It is important that all key personnel be notified of the disaster as soon as possible to begin business resumption operations. The Employee/Contractor Notification List has the telephone numbers for the essential personnel to be notified in predetermined sequence.
- g. Additionally, specific instructions must be prepared for the following:
 - 1. Organization Leadership
 - 2. COOP Designated Personnel (ERG and specialty teams)
 - 3. Non-COOP Personnel
- v. COOP Threat Conditions and Potential Responses
 - a. Threat conditions are based upon a credible threat as identified by State and Federal law enforcement agencies. The department specific COOP Plans or the Capitol Complex Evacuation Plan, in whole or in part, may be activated, as required, if an emergency or disruptive situation meets one or more conditions outlined in the Iowa Emergency Response Plan.

Diagram 9 – COOP Threat Conditions and Potential Responses

Threat Condition Criteria	Response actions
<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>

- b. Decision Process for Activation - Triggers and Circumstances
 - 1. <Name of Department> Director determines the 'internal' decision making process for activation of COOP actions based on threat information, as discussed above. <Input decision making process here>
 - 2. The <Name of Department> COOP/COG Plan will not be implemented without coordination with the HLSEM Division and approval of the Governor.
- vi. Implementation of Emergency Response Plans
 - a. Following the notification of the emergency incident or situation, a team of key <Name of Department> personnel, the <Name of Department> management team and ERG, will assemble at the pre-determined meeting site and immediately begin to assess and evaluate the altered business environment for the department.
 - b. The primary objectives of the <Name of Department> ERG are:
 - 1. To establish an immediate and controlled department presence at the incident site;
 - 2. To conduct a preliminary assessment of incident impact, known injuries, extent of damage and disruption to <Name of Department> services and business operations;

3. To notify the <Name of Department> management team and ERG;
 4. To determine if and/or when access to the department facilities will be allowed; and
 5. To provide the <Name of Department> management team and ERG with the facts necessary to make informed decisions regarding subsequent recovery activity.
- c. Emergency response activities do not automatically translate into the declaration of a disaster and/or the implementation of a full resumption of operations.
- d. The <Name of Department> management team and ERG will determine whether or not the expenditure of resources are warranted and to what extent they are justified based upon available information and recommendations.
- e. The objectives for the <Name of Department> during emergency response are as follows:
1. Complete emergency response, notification and mobilization duties as directed by the <Name of Department> management team;
 2. Ensure the <Name of Department> management team is contacted and apprised of situation's status and activity;
 3. Obtain reports of personnel injury or related matters from facilities or security and/or local authorities;
 4. Perform assessment(s) and evaluation(s) until the extent of impact or damage can be determined;
 5. Document the results of the preliminary assessment(s) and evaluation(s) and submit the report to the <Name of Department> management team with recommendations to terminate the emergency response activities or activate subsequent plan operations; and
 6. Terminate or expand/extend the operation as directed by the <Name of Department> management team.
- vii. Implementation of Relocation Plan.
- a. A Command Center headquarters will be established if <Name of Department> management decides to continue and escalate the situation from emergency response to a COOP event. The site for the Command Center headquarters is XXXXXX. Initial activities performed at the Command Center are described below:
1. If the <Name of Department> HQs can be accessed, further assessments and evaluations of the on-site conditions, the damage impact, and extent of the emergency incident/situation will be completed.
 2. Use of the Command Center will/may be confined to management meetings and the cancellation of the resumption operation if the facility (e.g., work areas, fixed assets, files, equipment, voice communications, etc.) are

unaffected and the emergency incident/situation problems can be resolved without major impact to service delivery.

3. If the information about the emergency incident/situation problems is inconclusive, the Command Center will be used as a meeting site until the assessments are completed.
 4. If the emergency incident/situation is such that the resumption operation needs to be continued or further escalated, and/or a disaster declared, the Command Center will be organized and the appropriate support and resumption teams will be notified and activated as required.
- b. Once the <Name of Department> management team and the ERG establish an initial alternate facility Command Center, the flow of personnel, supplies, and equipment may commence.

B. PHASE 2: ALTERNATE FACILITY OPERATIONS (HOT OR COLD SITE)(NEAR AND FAR SITES)

This section identifies initial arrival procedures as well as operational procedures for the continuation of essential functions.

- i. Establishment of an Alternate Facility. <Name of Department> has identified a near or a far-site work facility that will provide the necessary support of <Name of Department> essential functions.
 - a. As soon as possible following their arrival at the alternate operating facility, members of the ERG staff will begin providing support by:
 1. Conducting appropriate security, safety, and health assessments for suitability prior to beginning movement;
 2. Monitoring and assessing the situation that required the relocation;
 3. Monitoring the status of department personnel and resources;
 4. Assessing requirements for additional personnel – to be augmented by <Name of Department> non-COOP personnel or from another organization;
 5. Preparing to assume responsibility for continuing essential functions;
 6. Reporting the status of operations to other state components and the SEOC;
 7. Planning and scheduling relocation site operations; and
 8. Preparing and disseminating instructions and reports as required.
 - b. <Input detail here regarding contents and COOP Kit requirements.>
 - c. Essential items and data will be pre-positioned, if feasible, at designated alternate operating facilities.
- ii. Reception, Receiving and Personnel Accountability. Positive personnel and equipment accountability throughout all phases of COOP Implementation is of utmost concern; especially if the emergency occurs without warning, during duty hours. The department management team and the ERG play a vital role in the transition of operations from the

primary site to the alternate site. The alternate facility Command Center will be organized to track the following functions during the relocation phase and establishment of the alternate facility: <Insert new or delete functions selected from planning guidance>

- a. Personnel accountability
 - b. Equipment inventory
 - c. Space utilization
 - d. Emergency response plans for the alternate facility
 - e. Safety and security
 - f. Reports
 - g. Public information
 - h. Ability of the Department to support HLSEM during another emergency
 - i. <Other requirements unique to Name of Department>
- iii. Interoperable Communications Connectivity (Radio, IT, phone, fax, email, intra-net, inter-net, secure, non-secure, messaging systems, video-conferencing, and notification systems – NAWS, EAS, etc.). It is imperative that the <Name of Department> ensure that unique or critical information system requirements are identified as capabilities to be provided by support organizations at the alternate operating facility. All telecommunications and information support requirements will be coordinated with the Director, Department of Administrative Services (DAS) and the COOP POC for DAS. The <Name of Department> will maintain all necessary and up-to-date files, documents, computer software, and databases required to carry out essential functions as listed below.
- a. Internal
 - b. External
 - c. Government
 - d. Public
 - e. Media
- iv. Vital Records and Databases
- a. Emergency Operating Records. Vital records, regardless of media, essential to the continued functioning or reconstitution of <Name of Department> during and after an emergency have been identified. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments and related records of a policy or procedural nature that provide staff with guidance and information resources necessary for conducting operations during any emergency and for resuming formal operations at its conclusion.
 - b. Legal and Financial Rights Records. Vital records, regardless of media, critical to carrying out <Name of Department> essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities have been identified. Included are records having such

value that their loss would significantly impair the conduct of essential functions, to the detriment of the legal or financial rights or entitlements of the organization or of the affected individuals.

- c. The <Name of Department> Director provides overall guidance and oversight for the protection of vital records to support the performance of essential functions under any emergency or potential emergency.
- v. Pre-positioning of Equipment and/or Supplies. <Name of Department> databases and other references supporting essential functions are pre-positioned at the alternate operating facility, carried with deploying personnel, are made available through an automated data backup process, or are archived on a COOP server located at a pre-designated location.
- vi. Security and Access Control Requirements. <Input Here>
- vii. As appropriate, press, news media, outside customers, vendors and other service providers are notified by an official spokesperson from <Name of Department>.
- viii. Critical Infrastructure Support (required / on-hand / needed). <Name of Department> will coordinate with the appropriate State, local or private agency for the requisite infrastructure support needed at alternate operating facilities. The worksheet below is a summary of facility and infrastructure requirements, as determined by the completion of worksheets in Appendix A.

Worksheet – Summary of Facility and Infrastructure Requirements at Alternate Facilities: Near-Site Location

Near-Site Location: <Input here>	Required:
Structure / Facilities	<Inputs here>
Utilities	<Inputs here>
Communications (Including Voice and Data Transmission)	<Inputs here>
Equipment and/or Systems	<Inputs here>
Facility Specific Emergency Response Plans, equipment (Health and Safety items)	<Inputs here>

Worksheet – Summary of Facility and Infrastructure Requirements at Alternate Facilities: Far-Site Location

Far-Site Location: <Input here>	Required:
Structure / Facilities	<Inputs here>
Utilities	<Inputs here>
Communications (Including Voice and Data Transmission)	<Inputs here>
Equipment and/or Systems	<Inputs here>

Far-Site Location: <Input here>	Required:
Facility Specific Emergency Response Plans, equipment (Health and Safety items)	<Inputs here>

ix. Resumption of Essential Functions at Alternate Worksites

- a. During the Resumption stage of the continuity process, <Name of Department> will use its pre-defined alternate sites to reestablish processing and network capability for the most time sensitive <Name of Department> applications. The <Name of Department> management team will initiate this plan if they determine that the interruption is significant enough to warrant its activation.
- b. Key Elements of the Resumption Phase Include:
 1. Establish and organize a Command Center from which to manage resumption activities;
 2. Activate and mobilize the continuity teams needed resume time-sensitive application restoration;
 3. Evaluate alternate site equipment and network service for the necessary enhancements to support time-sensitive application recovery;
 4. Mobilize and activate the support teams needed to support enhancement and use of the alternate site(s);
 5. Notify and inform <Name of Department> clients and <Name of Department> management of the situation;
 6. Alert employees and contractors not assigned to the continuity organization, vendors and other key organizations to the situation and the their role during resumption and recovery; and
 7. Once mobilized, the Support teams will be instructed in their reporting and action requirements. The necessary site assessments, evaluations and the initiation of salvage operations will be completed once the Command Center is established. Additional alerts to supporting vendors, management and customers will also be conducted from the Command Center.

C. PHASE 3: RECONSTITUTION AND RETURN TO NORMAL OPERATIONS

This section explains the procedures for returning to normal operations. This section also includes procedures for returning to the primary facility, if available, and procedures for acquiring a new facility through the Department of Administrative Services (DAS). Notification procedures for all employees returning to work are also addressed.

In addition to maintaining a Command Center that provides sufficient support for resumption and restoration operations, objectives of the Restoration stage are to:

- i. Maintain an adequate level of support team coverage to support all business operations;
- ii. Maintain adequate technology team coverage to sustain information-processing operations;

- iii. Maintain communication with the continuity organization;
- iv. Clean and/or decontaminate the building;
- v. Repair and/or restore the building or construct/acquire a new facility;
- vi. Replace the contents of the building; and
- vii. Coordinate the relocation and/or migration of business operations, support and technology departments from temporary facilities to the repaired or new facility.

Within 24-hours of an emergency relocation to an alternate site, and when local officials allow access to primary work facility, the <Name of Department> Director, in coordination with HLSEM, will initiate operations to salvage and recover department assets located at the primary work-site. Reconstitution procedures will commence when the <Name of Department> Director or other authorized person ascertains that the emergency has ended and is unlikely to recur.

- i. The restoration stage builds on the assessments performed in the emergency response stage with the goal of returning the impacted facility to its pre-disaster capabilities. In circumstances where the original facility was assessed as beyond repair, the acquisition and outfitting of new permanent facilities will begin. The restoration process will include the assessment of:
 - a. Environmental contamination of the affected areas
 - b. Structural integrity of the building
 - c. The damage to furniture, fixtures, equipment, and systems
- ii. Once this determination, in coordination with other State, local or Federal authorities is made, one or a combination of the following options will be implemented, depending on the situation:
 - a. Continue <Name of Department> operations from the alternate operating facility;
 - b. Begin an orderly return to the primary operating facility building and reconstitute the <Name of Department> HQs element from remaining resources, upon a decision by the <Name of Department> Director, or other authorized person that the <Name of Department> HQs Office building can be reoccupied; and
 - c. Begin to establish a reconstituted department HQs office in some other facility in the area.

The following guidance is provided for ceasing operations at the alternate operating facility for the return to the original primary facility or re-designated primary facility:

- i. Deactivation – Decision process: <Input here>
- ii. Verification and notification procedures: <Input here>
- iii. Procedures for the transfer of essential functions from alternate operating facility to designated primary facility: <Input here>
- iv. The following steps will be taken for the implementation of the relocation plan. (See Appendix H for maps and routes). Note: Safety, security and accountability will take priority during this phase of the operation.

- a. Conduct appropriate security, safety, and health assessments for suitability prior to beginning movement;
- b. Reception, receiving and personnel accountability at designated primary facility; and
- c. Recovery of supplies and equipment from alternate operating facility.

D. RECONSTITUTION AND/OR LONG-TERM RECOVERY (31+ DAYS)

(Refer to <Name of Department> Reconstitution and/or long-term recovery plans)

SECTION VII – COORDINATING INSTRUCTIONS

The Governor or his/her designee has the ultimate executive decision making authority for state continuity of operations. In the absence of the Governor or designee, the Adjutant General, as Director of the Department of Public Defense, or the Administrator of the Homeland Security and Emergency Management Division will maintain executive decision making authority for the implementation of continuity of operations plans. In coordination with the those elements just mentioned, the Director of the <Name of Department>, or his/her designee shall initiate the activation of the department Continuity of Operations (COOP) Plan and shall assume overall direction and control responsibilities with respect to this department plan.

A. RESPONSIBILITIES FOR PLAN IMPLEMENTATION

- i. Department Head
 - a. Determine when the department COOP and Continuity of Government (COG) Plan will be activated; and
 - b. Coordinate with the Governor's office for additional guidance and information to implement COOP/COG Plans.
- ii. <COOP Coordinators will be established at the department, division and bureau level. Input for your department> The COOP/COG Coordinator is responsible for:
 - a. Notification of the activation of this plan to the State Emergency Operations Center;
 - b. Notification to department/division/bureau staff of report to work information and the status of the primary work-site office buildings via a telephone call tree;
 - c. Implementation of this COOP Plan;
 - d. Maintenance of department/division/bureau individual COOP Drive-away kits of essential office materials;
 - e. Maintenance and review of this COOP Plan annually at a minimum;
 - f. Providing a current copy of the department's Emergency Relocation Group (ERG) Roster and Contact Information to the State COOP coordinator;
 - g. Ensuring all staff maintain awareness of the department's COOP Plan through periodic training, discussion and exercises;
 - h. Maintaining the currency of contact information;
 - i. Preparing an After Action Report (e.g. "lessons learned", etc.) of our department's COOP operations and effectiveness of plans and procedures as soon as possible, identifying areas for correction and developing a remedial action plan. The After Action Report is an information activity that takes place after disaster response or an exercise simulating a disaster. Its purpose is to identify problems and possible solutions for improving future responses; and
 - j. Coordinate operations and functions of the ERGs.
- iii. Special COOP Teams, as part of the ERG:

- a. Headquarters Management Team
- b. Evacuation team - designated personnel supporting Emergency Response Plans and the evacuation of the primary operating facility
- c. Relocation / Movement Team
- d. Site Preparation and Receiving Team (SP&R)
- e. Operations, Control, Communications and Computers Team
- f. Administration and Logistics Planning Team (A&L)
- g. Salvage and Recovery Team (S&R)
- h. Security Coordination Team
- iv. Coordinator for Non-COOP personnel
- v. Department/division/bureau personnel who are relocated under this plan are known collectively as the Emergency Relocation Group (ERG). Additional considerations for ERG membership are:
 - a. Primary and Alternate Worksite space and support capabilities are limited; therefore, the membership of the COOP Emergency Relocation Group must be restricted to only those personnel who possess the skills and experience needed for the execution of agency essential functions.
 - b. Personnel who are not designated Emergency Relocation Group members may be advised to move to some other State facility or duty station, or may be advised to remain at or return home pending further instructions.

<Refer to the State COOP/COG Planning Guidance for additional information on ERG organization and specialized team responsibilities>.

- vi. Primary Responsibilities of ERG Special Teams
 - a. The primary responsibilities of the Emergency Relocation Group (ERG) Special Teams are:
 1. To protect employees and information assets until normal business operations are resumed;
 2. To ensure that a viable capability exists to respond to an incident;
 3. To manage all response, resumption, recovery and restoration activities;
 4. To support and communicate with Department staff and other locations within the organization;
 5. To accomplish rapid and efficient resumption of time-sensitive technology and business operations;
 6. To ensure all insurance and regulatory requirements are satisfied;
 7. To exercise impact resumption and recovery expenditure decision; and

8. To streamline the reporting of resumption and recovery progress between the teams and both <Name of Department> HQs Management team.
- b. During Emergency Response, the primary responsibilities of the ERG are:
 1. To establish an immediate and controlled <Name of Department> presence at the incident site;
 2. To conduct a preliminary assessment of incident impact, known injuries, extent of damage and disruption to the enterprise's services and business operations;
 3. To determine if and/or when access to the alternate facility will be allowed; and
 4. To provide Executive Management with the facts necessary to make informed decisions regarding subsequent resumption and recovery activity.
 - c. During Resumption, the primary responsibilities of the ERG are:
 1. To establish and organize a control center for the resumption operations;
 2. To notify and appraise team leaders of the situation;
 3. To mobilize and activate the operation's teams necessary to facilitate the resumption process; and
 4. To alert employees, vendors and other internal and external individuals and organizations.
 - d. During Recovery, the primary responsibilities of the ERG are:
 1. To prepare for and/or implement procedures to facilitate and support the recovery of less time-sensitive business functions;
 2. To mobilize additional ERG special teams and support organizations as required; and
 3. To maintain information flow regarding the status of recovery operations among employees, vendors and other internal and external individuals and organizations.
 - e. During Restoration, the primary responsibilities of the ERG are:
 1. To manage salvage, repair and/or refurbishment efforts at the affected facility;
 2. To prepare procedures necessary to the relocation or migration of business functions to the new or repaired facility;
 3. To implement procedures necessary to mobilize operations, support and technology department relocation or migration; and

4. To manage the relocation/migration effort as well as perform employee, vendor and customer notification before, during and after relocation or migration.

<Requires Departments to Modify, as Required, the Composition of the ERG>

<Refer to Planning Guidance Document for details and example of ERG composition>

Worksheet – <Name of Department> ERG Team Composition

ERG Special Teams	Composition
HQs Management Team	<Detail here>
Response and Movement Team	<Detail here>
Site Preparation and Receiving Team (SP&R)	<Detail here>
Operations, Control, Communications and Computers Team (C4)	<Detail here>
Administration and Logistics Planning Team (A&L)	<Detail here>
Site Preparation and Receiving Team (SP&R)	<Detail here>
Salvage and Recovery Team (S&R)	<Detail here>
Security Coordination Team	<Detail here>
Coordinator for Non-COOP Personnel	<Detail here>

Worksheet – <Name of Department> ERG Team Roles and Responsibilities

ERG Special Teams	Responsibilities
HQs Management Team	<Detail here>
Response and Movement Team	<Detail here>
Site Preparation and Receiving Team (SP&R)	<Detail here>
Operations, Control, Communications and Computers Team (C4)	<Detail here>
Administration and Logistics Planning Team (A&L)	<Detail here>
Salvage and Recovery Team (S&R)	<Detail here>
Security Coordination Team	<Detail here>
Coordinator for Non-COOP Personnel	<Detail here>

Worksheet – <Name of Department> HQs Management Team Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Response and Movement Team Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Site Preparation and Receiving Team (SP&R) Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet –

<Name of Department> Operations, Control, Communications and Computers Team Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Administration and Logistics Planning Team (A&L) Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Salvage and Recovery Team (S&R) Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Security Coordination Team Assignments

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> Coordinator for Non-COOP Personnel

Department/Division/Bureau	Individual Team Member
<Name of Department/Division/Bureau>	<Position here>
<Name of Department/Division/Bureau>	<Position here>
<Name of Department/Division/Bureau>	<Position here>

Worksheet – <Name of Department> ERG Membership

Break-out within the Department	Total Number of Personnel assigned as Team Member
Department HQs	<# Here>
<Name of Division/Bureau/Office>	<# Here>
<Name of Division/Bureau/Office>	<# Here>
<Name of Division/Bureau/Office>	<# Here>
TOTAL:	<# Here>

B. ADDITIONAL COORDINATION REQUIREMENTS

The planning templates provided are representative of the priority “Support Elements” that must be addressed. As divisions/bureaus develop, individualized plans and review supporting requirements, consider all required support elements and do not limit yourself those listed in this section.

C. SECURITY (PHYSICAL, OPERATIONS AND CYBER)

Worksheet – During Activation and Relocation

Security Requirements	Type	Quantity
Physical Security (Internal)	<Inputs here>	<Inputs here>
Physical Security (Buffer Zone)	<Inputs here>	<Inputs here>
Operational Security (Internal)	<Inputs here>	<Inputs here>
IT/Cyber Security	<Inputs here>	<Inputs here>

Worksheet – During Operations at the Alternate Facility

Security Requirements	Type	Quantity
Physical Security (Internal)	<Inputs here>	<Inputs here>
Physical Security (Buffer Zone)	<Inputs here>	<Inputs here>
Operational Security (Internal)	<Inputs here>	<Inputs here>
IT/Cyber Security (Internal)	<Inputs here>	<Inputs here>

Worksheet – During Reconstitution and Return to Normal Operations
 (At Primary Facility or other designated facility)

Security Requirements	Type	Quantity
Physical Security (Internal)	<Inputs here>	<Inputs here>
Physical Security (Buffer Zone)	<Inputs here>	<Inputs here>
Operational Security (Internal)	<Inputs here>	<Inputs here>
IT/Cyber Security (Internal)	<Inputs here>	<Inputs here>

Note: The chart below lists “Un-resourced” security requirements

Security Requirements	Type	Quantity
Physical Security (Internal)	<Inputs here>	<Inputs here>
Physical Security (Buffer Zone)	<Inputs here>	<Inputs here>
Operational Security (Internal)	<Inputs here>	<Inputs here>

IT/Cyber Security (Internal)	<Inputs here>	<Inputs here>
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D. LOGISTICS (REQUIRED / ON-HAND / NEEDED)

<The lists below will become the 'Consolidated' lists of Support Elements that was discussed earlier>

Worksheet – Food

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Drinking Water

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Fuel (gasoline, diesel, propane, etc.)

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Office Supplies and Equipment

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Specialized Equipment and Supplies

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Computers and IT Systems

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Medical Supplies and/or Care

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Billeting Requirements

Required	Currently Available	Additional Source Identified	Estimated Additional Cost	Funding Source
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Transportation Requirements

Required Capacity & Type	Short or Long Term	Internal Capability	External Support Required	Funding Source if Required
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Health and Safety

Required	Currently Available	Additional Source Identified	Estimated Additional Cost	Funding Source
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Vehicle and Traffic Control

ERG Element	Parking Space Req'd	Additional Parking Spaces Req'd	Traffic Control Req'd Y/N	If Yes, what is Requirement
HQs Element	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Response and Movement Team	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Site Preparation and Receiving Team (SP&R)	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Operations, Control, Communications and Computers Team (C4)	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Administration and Logistics Planning Team (A&L)	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Salvage and Recovery Team (S&R)	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Security Coordination Team	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Coordinator for Non-COOP Personnel	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
Alternate Site Visitors	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

Worksheet – Other Areas “As Required”

Required	On-Hand	Source Identified	Pre-positioned	Requires Transport
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

<Department planners may add additional categories to meet department needs >

E. ADMINISTRATION AND HUMAN CAPITAL

Worksheet – Administration and Human Capital: Key Issues That Must Be Addressed

Issue	Pre-planned Activity / Response
Employee roles and responsibilities	<Inputs here>
Status of Non-COOP personnel	<Inputs here>
Adjustments to Work Schedules	<Inputs here>
Time-card accounting	<Inputs here>
Work-at-home Status	<Inputs here>
Use of special compensation (pay and leave) tools and flexibilities	<Inputs here>
Benefits issues	<Inputs here>
Temporary staffing arrangements	<Inputs here>
Protocols for designating and activating special needs employees	<Inputs here>
Family support plans	<Inputs here>
Dealing with employee death or injury	<Inputs here>
<Others as necessary>	<Inputs here>

<This list is NOT all-inclusive. Department Directors should add to this list to the fullest extent possible>

F. VITAL RECORDS AND DATABASES

Worksheet – Consolidated Listing of Vital Records and Databases Required

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-positioned at Alternate Facility	Hand Carried to Alternate Facility	Backed up at Third Location
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

<List all vital records and databases identified in previous worksheets>

G. PUBLIC INFORMATION AND INFORMATION OPERATION

Worksheet – Public Information and Information Operations: Recommended Preplanning Activities

Issue	Pre-planned Activity / Response
Media announcements on Department operating status	<Inputs here>
Msg. to Local Media	<Inputs here>
Msg. to Local Business	<Inputs here>
Msg. to Employees & Families	<Inputs here>
Msg. to General Public	<Inputs here>
<Other specific groups as required>	<Inputs here>

SECTION VIII – LEADERSHIP & CONTINUITY OF GOVERNMENT (COG)

A. ORDERS OF SUCCESSION

When the department is missing a person who is in a key position, it is obvious. Decisions cannot be made, needs cannot be satisfied, orders cannot be shipped, etc. If there is an absence in a key position, essential department functions are not being fully met. By examining department organization in this manner, key positions are recognized by the consequences of a vacancy or anticipated vacancy.

Worksheet – Successors

Position	Incumbent	Successor #1	Successor #2
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

<List all Elected, Appointed and Key and Essential Persons>

B. DELEGATIONS OF AUTHORITY

Delegation of authority in the <Name of Department> Continuity of Operations (COOP) Plan ensures rapid response to an emergency that requires COOP Plan activation.

Worksheet – Authority to be Delegated

Authority to be Delegated	Type of Authority	Position Holding Authority	Triggering Conditions
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

<List all Authorities to be delegated>

Worksheet – Delegation of Authority: Rules, Procedures and Limitations

Responsible Position	Authority to be Delegated	Rules	Procedures	Limitations
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

<List all Rules, Procedures and Limitations >

C. DEVOLUTION OF CONTROL AND DIRECTION

Devolution of control and direction must be addressed under two basic scenarios. First, there has been an increase in threat levels and departments will take steps to mitigate risk to COOP and

Continuity of Government (COG) officials and second, there has been a catastrophic event in which an organization responsible for an essential function has been rendered ineffective and total transfer of their functions to another organization is required. Departments must determine those steps necessary in both scenarios to ensure the continuation of essential functions. Departments may use the worksheets below to assist in your planning.

- i. Actions taken during escalation in threat level: <Specify actions to be taken by each element within the department as it relates to Essential Functions or Key Individuals>

Worksheet – Devolution of Control and Direction Potential Responses

Essential Functions	Threat Condition Criteria	Actions to Protect Leadership & Key Individuals
1 <Inputs here>	<Inputs here>	<Inputs here>
2 <Inputs here>	<Inputs here>	<Inputs here>
3 <Inputs here>	<Inputs here>	<Inputs here>
4 <Inputs here>	<Inputs here>	<Inputs here>

- ii. Actions taken during a catastrophic event rendering the agency in effective and unable to perform essential functions. <Specify specific actions to be taken by each element within the department as it relates to the transfer of Essential Functions to another entity>

Worksheet – Transfer of Control and Direction during a Catastrophic Event

Essential Function	Transferred to:	Gaining Agency
1 <Inputs here>	<Inputs here>	<Inputs here>
2 <Inputs here>	<Inputs here>	<Inputs here>
3 <Inputs here>	<Inputs here>	<Inputs here>

SECTION IX – TEST, TRAINING AND EXERCISES

All department/division/bureau staff must be educated on their role in Continuity of Operations (COOP) and Continuity of Government (COG) Plan execution. Exercises that simulate various disruptions and practice COOP/COG Plan execution must be conducted, and backup systems and processes must be tested for effectiveness.

A. EDUCATION AND TRAINING REQUIREMENTS

To ensure that all <Name of Department> personnel are familiar with and prepared for implementation of the department COOP plan, employees will receive training on COOP plan implementation as part of new employee orientation and at a minimum, annually, or as significant changes are made to department COOP plans and procedures. To facilitate exercising the COOP plans and procedures, training is offered by the Iowa Homeland Security & Emergency Management Division. HLSEM offers periodically courses in exercise design, execution and evaluation for state employees.

B. FREQUENCY OF EDUCATION AND TRAINING PROGRAMS

To ensure that all personnel are familiar with and prepared for COOP operations, each Division/Bureau/Office should conduct the following events on a monthly, quarterly, annual, or other timeframe based upon department capabilities and needs.

Worksheet – Frequency of COOP/COG Education and Training Programs

Frequency	Type of Education or Training Program
Annually	
Quarterly	
Semi-annually	
Monthly	
Other	
Note: Department “Minimum” requirements were determined through coordination with HLSEM Division.	

Worksheet – Summary of COOP/COG Education and Training Programs

Frequency	Type of Program	Methods	Audience	Estimate Cost
Annually				
Semi-Annually				
Quarterly				
Monthly				
Other				

C. TEST, EXERCISE, AND AUDIT REQUIREMENTS

In order to keep the <Name of Department> COOP/COG Plan up to date, our goal is to participate/conduct a tabletop exercise annually and a functional/full-scale exercise every 4 years.

D. FREQUENCY OF TESTS, EXERCISES, AND AUDITS

To ensure that all <Name of Department> personnel are familiar with and prepared for COOP procedures, each Division/Bureau/Office will conduct tests, exercises, and audits on a monthly, quarterly, annual, or other timeframe based upon department capabilities and needs, to assess the viability and reliability of equipment and systems, facilities and procedures. Exercise design, methodology, and frequency were developed in accordance with the Exercise Program Guidance maintained by the Iowa Homeland Security & Emergency Management Division. . As such, the following types of tests, exercises, and audits will be conducted within <Name of Department>.

Worksheet – Frequency of COOP/COG Tests, Exercises, and/or Audits

Frequency	Type of Test, Exercise, or Audit
Annually	
Quarterly	
Semi-annually	
Monthly	
Other	
Note: Department “Minimum” requirements were determined through coordination with HLSEM Division.	

E. EXERCISE EVALUATION METHODOLOGY

- i. Exercises are evaluated simulations and activities and provide a process for continuous improvement. Exercise evaluation is the systematic examination of the effectiveness of the <Name of Department> emergency preparedness program.
- ii. Exercise Evaluation refers to the act of reviewing or observing and recording exercise activity or conduct, applying the behavior or activity against exercise objectives and noting strengths, weaknesses, deficiencies, or other observations. <Name of Department> exercise evaluations will address each exercise objective to answer the following questions:
 - a. Was the objective met?
 - b. If yes, what were the results?
 - c. If no, what changes are necessary to achieve the objective?
- iii. Determining how the exercise objectives were met allows evaluators to answer important questions such as:
 - a. Are parts of the plan in need of revision?
 - b. Is current equipment adequate?
 - c. Is additional training required?
 - d. Are additional resources necessary?
 - e. Are staffing levels adequate?

- f. Is the communication system vulnerable to overload?
- g. How effectively did independent agencies cooperate to resolve the problem?
- h. Was the alternate work facility adequate?
- i. Did the relocation plan work?
- j. Were timetables met?
- k. Were estimates for required materials and supplies accurate?
- l. Are performance measures associated/linked to the Universal Task List (UTL), the Federal Document that lays out overall emergency capabilities for the entire nation? It is available from HLSEM.

F. AFTER-ACTION-REVIEWS

The production of an After-Action Report (AAR) is vital to the cyclical process of improvements to COOP/COG Plan. The AAR documents assess events and functionality of the plan while capturing the findings identified by exercise evaluators, participants and observers. The AAR process also identifies any improvements needed to the plan, who is responsible for those improvements and a date when those improvements will be made. An AAR will be prepared for each tabletop, functional and full-scale exercise conducted; as well as, upon the conclusion of a real-world event causing the activation of COOP or COG Plans.

- i. The AAR provides a historical record of findings and forms the basis for refinements to plans, policies, procedures, training, equipment and overall preparedness.
- ii. AARs describe the exercise scenario, player activities, preliminary observations, major issues and recommendations for improvements. Additionally, the following actions will be completed:
 - a. At the conclusion of an actual event, the <Name of Department>/Division/Bureau will provide a copy of the AAR to the <Name of Department> COOP/COG Coordinator no later than 30 days from the completion of the event or exercise for internal agency distribution.
 - b. The <Name of Department> COOP/COG Coordinator will retain the AARs for a period to be determined by the department.
 - c. Division/Bureau AARs will be consolidated at the department level and a copy of the report provided to HLSEM no later than 60 days from the completion of the event or exercise.

G. EXERCISE TYPES¹

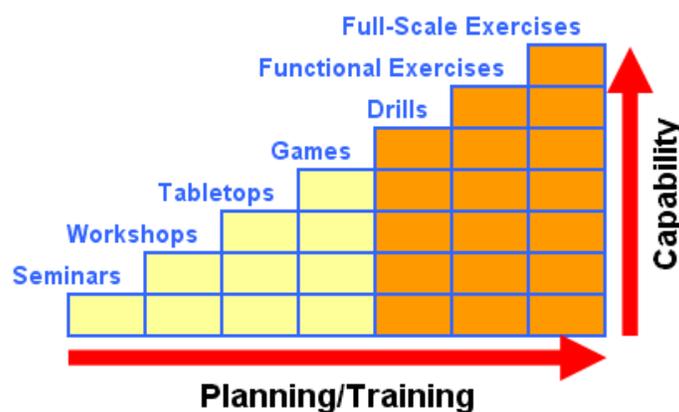
Exercises take many forms and are often the only avenue for realistic measurements of the effectiveness of training and the adequacy of plans, policies and procedures. Exercises are evaluated activities that demonstrate the integrated capabilities of resources. The building-block concept ensures that each exercise conducted builds on the results of the previous exercise.

The building block approach, as shown in the diagram below, employs progressive steps in exercise design, complexity, and execution, and allows for the appropriate training and preparation to occur. This building block model depicts an exercise progression that begins with

¹ *Homeland Security Exercise and Evaluation Program, Volume 1: Overview and Doctrine*, U.S. Department of Homeland Security, Office for Domestic Preparedness, January 2003.

discussion-based exercises (Seminars through Games), followed by operational field-based exercises (Drills through Full-Scale Exercises). These particular exercise types provide a logical progression of preparedness through increasing size, complexity, and stress factor, while allowing for significant training opportunities that complement, build upon, and directly lead to one another effectively. Finally, this exercise model allows for a cyclical approach to exercises, which provides a sustainable program to achieve overall preparedness.

Building Block Approach



i. Discussion-Based Exercises

Discussion-based exercises are normally used as a starting point in the building block approach to the cycle, mix, and range of exercises. Discussion-based exercises include Seminars/Orientations, Workshops, and Tabletop Exercises (TTXs). These types of exercises typically highlight existing plans, policies, mutual aid agreements, and procedures. They are exceptional tools for familiarizing agencies and personnel with current or expected departmental, agency, or jurisdictional capabilities. Facilitators and/or presenters usually lead the discussion, keeping participants on track while meeting the objectives of the exercise.

ii. Operations-Based Exercises

Operations-based exercises represent the next iteration of the exercise cycle; they are used to validate the plans, policies, agreements, and procedures solidified in discussion-based exercises. Operations-based exercises include Functional (FE) and Full-Scale (FSE) exercises. They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual actions, such as a simulated operation or command center or the actual movement of people and resources from one place to another. Functional exercises are usually limited to the activities of an operations center or command post. Full-Scale exercises involve real persons doing real activities and moving equipment or materials as they would be utilized in an actual situation.

Worksheet – Discussion and Observations-Based Exercises

Type	Characteristics	Purpose
Discussion Exercises:		
Seminars/Orientation	Low stress. Informal. No time constraints. Effective for large or small groups.	Provide overview of strategies, plans, policies, procedures, protocols, etc.
Workshops	Low stress. No fault. Work group sessions. No time constraints.	Collecting/sharing information. New/different perspectives. Team building. Test new ideas.
Tabletop (TTX)	Problem-solving. Brainstorming. Constructive discussion around multi-agency issues. Narrative. "What-if". Minimum Stress.	Replay of an actual occurrence. Address problem areas. Clarify conflicting roles. Evaluate plans and procedures.
Operations-Based Exercises:		
Functional (FE)	Simulation to the maximum degree Real-time Use of messages "do" vs. "talk"	Evaluation of any complex activity Test of seldom used resources
Full-Scale (FSE)	Mobilization of personnel and resources. Multiple functions.	Test coordinated response. Public awareness.
From the Exercise program Guidance, Iowa <i>Homeland Security Exercise and Evaluation Program (IHSEEP)</i> .		

SECTION X – COOP/COG PLAN MAINTENANCE

The <Name of Department> Continuity of Operations (COOP) and Continuity of Government (COG) Plan is a living document. As problems emerge, situations change, gaps become apparent and requirements are altered—the plan must be adapted to remain useful and up-to-date. Accordingly, all plans and procedures (responsibility, steps and appendices) must be revised and updated permanently after changes are made. This process involves the development of a remedial action plan and a complete review and revision of the plan as outlined below.

A. REMEDIAL ACTION PROCESS

A remedial action process will help the department planning team identify, illuminate and correct problems with the department's plan. A remedial action process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning team together to discuss the problem, and to consider and assign responsibility for remedies. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (SOPs). They also may involve refresher training on performance of tasks assigned by the ERG to a department's personnel. The final component of a remedial action process is a means to track and follow up the assigned actions.

B. REVIEW AND REVISION

The <Name of Department> has established a process for review and revision of the plan. The review will be a recurring activity, and accomplished on at least an annual basis. As appropriate, significant issues and problems identified through a remedial action process and/or the annual review will provide the information needed to allow our planning team to make the necessary revision(s) to the plan. It will be tested, at a minimum annually, or at a greater frequency as determined by the Department Director and Division/Bureau Chief. Its contents will be reviewed on an annual basis to ensure that this action plan identifies specific requirements and activities as determined by the key individuals in the department.

C. UPDATING PLANS AND PROCEDURES

Accordingly, all plans and procedures (responsibilities, steps, rosters, appendices, etc.) must be revised and updated permanently after any changes are made. Changes and updates to the plan must be posted to the record of change page, and distributed to all in possession of the plan. At a minimum, the Department COOP/COG Plan will be reviewed and updated as follows:

- i. Post-exercise
- ii. Post-event
- iii. Annually

D. COOP/COG REVIEW TEAM

The department COOP plan must be reviewed annually or as requested to remain accurate and current. The COOP/COG Review Team will perform this review. The COOP/COG Review Team is tasked to determine whether the emergency capabilities of the department ERG are sufficient and the COOP Plan meets all essential factors identified in applicable legislation. A review cycle has been established to update and review internal directives and external rules and regulation

for information that may impact the COOP Plans. The review cycle will take place during November of each calendar year.

Other responsibilities of the COOP/COG Plan Review Team include:

- i. Maintaining overall plan currency and readiness to include procedures, equipment, systems, personnel and rosters;
- ii. Addressing and resolving COOP Plan policy issues;
- iii. Advising the Administrator of COOP related matters;
- iv. Coordinating among related plans;
- v. Conducting training, testing and exercises; and
- vi. Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year.

Worksheet – COOP Review Team

Special Team	HQs/Div/Bureau	Office Contact Info
HQs Management Team	<Inputs here>	<Inputs here>
Response and Movement Team	<Inputs here>	<Inputs here>
Site Preparation and Receiving Team (SP&R)	<Inputs here>	<Inputs here>
Operations, Control, Communications and Computers Team	<Inputs here>	<Inputs here>
Administration and Logistics Planning Team (A&L)	<Inputs here>	<Inputs here>
Salvage and Recovery Team (S&R)	<Inputs here>	<Inputs here>
Security Coordination Team	<Inputs here>	<Inputs here>
Coordinator for Non-COOP Personnel	<Inputs here>	<Inputs here>

Example – Plan Maintenance Schedule

Activity	Tasks	Frequency
Plan update and certification	<Inputs here>	Annually (November of each calendar year, or as needed.
Maintain and update orders of succession	<Inputs here>	<Inputs here>
Checklists	<Inputs here>	<Inputs here>
Update rosters for all positions	<Inputs here>	<Inputs here>
Appoint new members of COOP team	<Inputs here>	<Inputs here>
Maintain alternate facility readiness	<Inputs here>	<Inputs here>
Review and update supporting MOUs	<Inputs here>	<Inputs here>
Monitor and maintain equipment at alternate	<Inputs here>	<Inputs here>

sites		
Train new members	<Inputs here>	<Inputs here>
Orient new policy officials and senior management	<Inputs here>	<Inputs here>
Plan and conduct exercises	<Inputs here>	<Inputs here>
Maintain security clearances	<Inputs here>	<Inputs here>

SECTION XI – PLAN DISTRIBUTION AND ACKNOWLEDGEMENT OF RECEIPT

This section provides a ‘Record of Receipt’ of The <Name of Department> Continuity of Operations (COOP) and Continuity of Government (COG) Plan.

Worksheet – Record of Receipt

HQs/Division/Bureau	Printed Name	Signature	Date
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

SECTION XII – APPENDICES

- APPENDIX A: ESSENTIAL FUNCTIONS SUPPORT MATRIX
- APPENDIX B: METHOD FOR OBTAINING ALTERNATE FACILITIES
- APPENDIX C: INFORMATION TECHNOLOGY SUPPORT REQUIREMENTS
- APPENDIX D: AGENCY COOP STAFF CONTACT LIST
- APPENDIX E: AGENCY NON-COOP STAFF CONTACT LIST
- APPENDIX F: DECISION SUPPORT TEMPLATE
- APPENDIX G: CAPITOL COMPLEX COOP/COG PRIORITIES
- APPENDIX H: MAPS AND EVACUATION/RELOCATION ROUTES
- APPENDIX I: COOP BUILDING LOCATIONS AND FLOOR PLANS
- APPENDIX J: COOP DRIVE-AWAY KIT CHECKLIST
- APPENDIX K: AFTER-ACTION REPORT TEMPLATE
- APPENDIX L: CHECKLISTS
- APPENDIX M: EMERGENCY RESPONSE PLANS
- APPENDIX N: DEFINITIONS AND ACRONYMS
- APPENDIX O: COOP PLAN REVIEW CHECKLIST AND CERTIFICATION OF COMPLETION

APPENDIX A: ESSENTIAL FUNCTIONS SUPPORT METRICS

<The worksheets provided below will be used by divisions/bureaus/offices throughout the process of identifying and prioritizing their essential functions>.

- i. Step 1 – Delineate goals and associated functions to accomplish mission

Specified Department Mission: <Inputs here> _____

Worksheet – Essential Functions Metrics

Department Mission:	
Goal #	Description
1	
2	
3	

Functions	Description
Goal #1:	
Function 1.1	<Inputs here>
Function 1.2	<Inputs here>
Function 1.3	<Inputs here>
Function 1.4	<Inputs here>
Goal #2:	
Function 2.1	<Inputs here>
Function 2.2	<Inputs here>
Function 2.3	<Inputs here>
Function 2.4	<Inputs here>

<Continue this process for each identified goal>

<Once you have completed each matrix identifying Goals with their supporting functions, tasks and support elements, you must now prioritize them based on the impact if the function is degraded or completely lost. >

- ii. Step 2 – Categorize each Essential Function based on the impact of not continuing the function.

Prioritized Essential Functions (Rank order ALL identified functions)

Tiered Rating: 1 – 2 – 3 – 4

Worksheet – Function Tier and Impact

Tier	Function	Impact if this Function is NOT Continued
1	# <Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>
2	# <Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>
3	# <Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>
4	# <Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>

<Complete the process for all identified functions>

- iii. Step 3 -- Rank Order Essential Functions based on time. You must now prioritize each essential function based on the amount of time you can go without that function. In other words, what is the maximum amount of time allowed before bringing that function back on-line?

Worksheet – Criticality Codes

AAA - AA - A - B - C - D

Tier	Function	Maximum Time Allowed Before Bringing Function Back On-line	Priority Code
1	# <Inputs here>	<Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>	<Inputs here>
2	# <Inputs here>	<Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>	<Inputs here>
3	# <Inputs here>	<Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>	<Inputs here>
4	# <Inputs here>	<Inputs here>	<Inputs here>
	# <Inputs here>	<Inputs here>	<Inputs here>

You now have a detailed 'prioritized' list of all functions being performed by your department; their supporting tasks and required resources are next in the planning process.

- iv. Step 4 - Delineate Tasks required to accomplish each function identified above

Worksheet – Function-Associated Tasks

Goal #1	Associated Tasks
Function #1.1	
Task 1.1.1	<Inputs here>
Task 1.1.2	<Inputs here>
Task 1.1.3	<Inputs here>
Function #1.2	
Task 1.2.1	<Inputs here>
Task 1.2.2	<Inputs here>
Task 1.2.3	<Inputs here>
Function # 1.3	
Task 1.3.1	<Inputs here>
Task 1.3.2	<Inputs here>
Task 1.3.3	<Inputs here>

<Continue this process for each identified goal and function as shown below.>

Goal #2	Associated Tasks
Function #2.1	
Task 2.1.1	<Inputs here>
Task 2.1.2	<Inputs here>
Task 2.1.3	<Inputs here>
Function #2.2	
Task 2.2.1	<Inputs here>
Task 2.2.2	<Inputs here>
Task 2.2.3	<Inputs here>
Function # 2.3	
Task 2.3.1	<Inputs here>
Task 2.3.2	<Inputs here>
Task 2.3.3	<Inputs here>

<Continue this process for each identified function.>

- v. Step 6 - Delineate resources required to accomplish each task identified above.

Worksheet – Tasks and Required Support Elements: Table 1

Function #1.1:	
Tasks to Accomplish Function	Personnel and/or Special Skills
1.1.1 <Inputs here>	<Inputs here>
1.1.2 <Inputs here>	<Inputs here>
1.1.3 <Inputs here>	<Inputs here>

Worksheet – Tasks and Required Support Elements: Table 2

Function #1.1:	
Tasks to Accomplish Function	Equipment and/or Systems
1.1.1 <Inputs here>	<Inputs here>
1.1.2 <Inputs here>	<Inputs here>
1.1.3 <Inputs here>	<Inputs here>

Worksheet – Tasks and Required Support Elements: Table 3

Function #1.1:	
Tasks to Accomplish Function	Vital Records and/or Databases
1.1.1 <Inputs here>	<Inputs here>
1.1.2 <Inputs here>	<Inputs here>
1.1.3 <Inputs here>	<Inputs here>

Worksheet – Tasks and Required Support Elements: Table 4

Function #1.1:	
Tasks to Accomplish Function	Facilities & Infrastructure
1.1.1 <Inputs here>	<Inputs here>
1.1.2 <Inputs here>	<Inputs here>
1.1.3 <Inputs here>	<Inputs here>

Worksheet – Tasks and Required Support Elements: Table 5

Function #1.1:	
Tasks to Accomplish Function	Time required to perform task
1.1.1 <Inputs here>	<Inputs here>
1.1.2 <Inputs here>	<Inputs here>
1.1.3 <Inputs here>	<Inputs here>

Continue this process for each identified function.

Worksheet – Tasks and Required Support Elements: Table 6

Function #1.2:	
Tasks to Accomplish Function	Personnel and/or Special Skills
1.2.1 <Inputs here>	<Inputs here>
1.2.2 <Inputs here>	<Inputs here>
1.2.3 <Inputs here>	<Inputs here>

<Complete the entire process for all tasks associated with all identified functions.>

<Note: It is critical that you complete the entire process for all tasks associated with all identified functions. These become your “Requirements” documents. This is what you need to operate and to perform your essential functions.>

APPENDIX A - TAB 1: DEPARTMENT FUNCTIONS LISTING

<The metrics below allow each element within the department to list their functions separately>

Worksheet – <Name of Department HQs>

Priority	Tier	Criticality	Function	Impact of Failure	Potential Costs
1	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
2	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
3	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
4	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
5	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
6	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
7	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
8	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
9	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
10	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>

Worksheet – <Name of Division>

Priority	Tier	Criticality	Function	Impact of Failure	Potential Costs
1	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
2	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
3	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
4	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
5	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
6	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
7	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
8	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
9	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
10	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>

Worksheet – <Name of Bureau>

Priority	Tier	Criticality	Function	Impact of Failure	Potential Costs
1	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>

2	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
3	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
4	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
5	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
6	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
7	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
8	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
9	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>
10	<#>	< Ltr >	EF <#> <Description>	<Inputs here>	<Inputs here>

APPENDIX B: METHOD FOR OBTAINING ALTERNATE FACILITIES

Department of Administrative Services

General Services Enterprise

- i. General Discussion: This document was developed to provide Continuity of Operations (COOP) planners with a method for identifying alternate facility requirements, surveying potential locations, acquiring and modifying locations and documenting and updating information.
 - a. Concept of Essential Operations: The purpose of an alternate facility is to provide an organization a means of accomplishing its COOP mission essential functions in the event of an emergency or threat if the organization's primary location is uninhabitable. A thorough understanding of the agency mission, essential functions, the concept for deployment and operations at an alternate facility, communications connectivity requirements, and the resources allotted is essential.
 - b. Developing Alternate Facility Requirements: The alternate facility requirements are derived from the study of elements necessary to continue essential functions identified in the COOP. Careful consideration should be given to the feasibility of having essential employees, as well as others, telecommute from home. In this process, tradeoffs may have to be made. An alternate facilities requirements worksheet is provided in Annex B to assist in requirement's development.
 - c. Funding Constraints: Acquisition alternatives (e.g.; agency leases, co-location, Government owned) for alternate facilities span a broad cost spectrum. Low cost alternatives and specific alternate facilities requirements may be difficult to reconcile; COOP planners must understand an organization's internal funding mechanisms, and Department of Management's funding guidance.
 - d. Training and Exercise: COOP Plans for alternate facilities should consider the acquisition and documentation of training/exercise locations that closely replicate actual alternate facilities. An alternative to full deployment exercises is "table-top" exercises, which can test continuity of essential operations. The complexity of exercises is dependent on the resources available for the program.
 - e. Formal Agreements: Anticipate that formal agreements such as memorandums of understanding, leases, occupancy agreements and contracts will be part of securing the alternate facilities and COOP Planning processes. Plan to include Department of Administrative Services' (DAS) property management and legal review services in the process.
- ii. The Acquisition Process: The alternate facilities acquisition process can vary depending on the organization, its requirements and its mission. However, the following process elements should be standard in securing any alternate facility. It is important to clarify whether the planning process involves securing the alternate facility in the planning stage to be ready for future use, or identifying the alternate facility requirements necessary for selection after an event occurs, or both. The term alternate facility can include anything from a borrowed conference room for a few key people on a temporary basis, to a complete facility to house the entire function. All this is dependent upon the requirements identified within your COOP Plan. In most cases, it will probably be something in between depending on the circumstances of any given event and available resources. Plans should include provisions for a worst-case scenario.

- iii. Appendix B – Tab 1-A (Occupancy Considerations): In this phase, an agency should consider and select one of the following:
 - a. Finding existing available agency-controlled space
 - b. Establishing an agreement to co-locate with another agency
 - c. Participating in a joint-use alternate facility occupancy agreement through DAS
 - d. Contacting DAS to secure space for an individual agency to be held for the contingency
- iv. Appendix B – Tab 1-B (COOP Plan Requirements Formulation Worksheet): A worksheet is provided to help agencies determine the requirements and acceptable geographic areas.
- v. Appendix B – Tab 1-C (Methods of Securing an Alternate Facility): The actual securing of an alternate facility includes a detailed survey of potential locations and an evaluation of whether essential operations requirements will be satisfied. DAS's assistance in the securing of an alternate facility requires the submittal of a Request for Space, other supporting documentation, and funding verification. MOUs may be used between State agencies where appropriate if the alternate facility space belongs to another State agency.
- vi. Appendix B – Tab 1-D (Alternate Facility Re-evaluation): Any alternate facility must periodically be reevaluated for conditions and functionality based on the COOP.
- vii. Appendix B – Tab 1-E (Alternate Facility Certification Form): Once your Department or Agency (D/A) Alternate Facility (AF) has been established, please complete the information below and transmit the document to the Department of Administrative Services, General Services Enterprise (DAS-GSE) Property Management, Hoover State Office Building – Level A, Des Moines, Iowa 50319.
- viii. Appendix B – Tab 1-F (Underutilized Space): This form is provided for agencies to report off-complex underutilized space that could be used by other agencies for alternate facilities. Providing this information to DAS will ease the identification of COOP alternate facilities process.

The information presented summarizes DAS's recommended methodology for securing alternate facilities. The specific application of these methods must necessarily be tailored to the individual organization's unique functions, requirements, operational plans and resources available.

APPENDIX B - TAB 1-A: OCCUPANCY CONSIDERATIONS

i. Existing Department-Controlled Space

Some departments may have, or know of, space that will be available for a reasonable length of time sufficient to designate it as their alternate facility. This may be vacant space controlled by the agency, or space currently utilized for another purpose within the agency (training facilities, conferencing facilities, field/regional offices, etc.).

These spaces should be set up to accommodate the emergency operation to allow for fast implementation of COOP activities. This can be done by pre-wiring and staging of resources within limits (e.g., Wire for telecommunications and data but do not activate the phone lines.).

ii. Co-locates with Another Department (within the same city, State, or geographical area)

Departments may be able to make arrangements to move in with another department temporarily (30 – 90 days with only emergency staffing), or to share otherwise available space with another department. In this instance, one department may be impacted by an emergency and one would not. The departments would need to establish a written agreement such as a Memorandum of Understanding (MOU), where the department with the emergency could have a certain number of workstations or space within the unaffected department (such agreements could be reciprocal if feasible). This space could be either open areas or it could be occupied space that could be made available during times of emergencies (training rooms, conference rooms, storage areas, telecommuting workstations, etc.). Any special requirements for security or other services should be addressed before the MOU is signed, so that both departments understand the potential impact on their operations.

iii. Participating in a Shared Alternate Facility Occupancy Agreement through DAS

This agreement would work like an insurance policy, where several agencies share the cost of occupying a facility on the premise that one (or some), but not all may need it at a particular time. Under this premise if only one (or some) should need to utilize the alternate facility, each would be able to get the necessary space based on their COOP. However if all participants should need to use the facility at the same time, each would have a minimum guaranteed space based on the percentage of funding contributed by each agency or based on the occupancy agreement through DAS. The minimum facility size would meet the maximum requirements of at least the largest and smallest participant in the agreement.

iv. Acquiring Independent Space to be Held Exclusively for an Alternate Facility

Although this may seem to be an expensive alternative, some agencies may find it necessary due to their mission or other circumstances. In this situation the new space would likely be only a small percentage of the currently occupied space based on minimum essential operations.

APPENDIX B - TAB 1-B: COOP PLAN REQUIREMENTS FORMULATION WORKSHEET

Alternate Facility Requirements

Department/Agency:

Agency Code:

Division/Bureau

Current Office Address

(Office to be relocated)

POC of Office to be relocated

Name:

Address:

Phone Number: () -

Fax Number: () -

E-mail Address:

POC – Telecommunications/Data:

Name:

Address:

Phone Number: () -

Fax Number: () -

E-mail Address:

Does your agency presently have an Alternate Facility Yes No

If yes, indicate Alt. Facility address:

If you need assistance in completing the form below, please contact the DAS-GSE Property Manager.

1. **Essential Functions.** Identify the mission-essential functions, in priority order, to be performed at the alternate facility.

Function	Square Feet
Priority #1	
Priority #2	
Priority #3	
Priority #4	
Total SF	

2. **Deployment Planning:**

- A. In what area must the AF be located? (Factors and elements to consider may include locating within a specified boundary to critical facilities, collocating with federal or county facilities, availability and cost consideration of communications to the facility, proximity to mass transit/ major highways, etc.)
- B. Considering the area designated above, how will employees access the alternate facility? (Private vehicles, agency arranged transportation, mass transit, etc.)
- C. Does cellular phone coverage limit the AF area of consideration? (See item 6)

3. **Alternate Facility Availability:**

- A. How soon after decision to deploy must site be available? (Number of hours/days)
- B. Identify Equipment/Supplies required at the alternate facility:
- C. Would tenting be acceptable as a temporary measure until more permanent space could be arranged? Yes No
- D. If certain requirements are a priority indicate them here in order of importance: (e.g., 1. Onsite Parking, 2. Telecommunications, 3. Location, 4. Security, 5. Proximity to Mass Transit/Major Highways or Critical Facilities)

Priority # 1

Priority # 2

Priority # 3

Priority # 4

4. Alternate Facility Description:

A. Number of Persons to be supported overall? (all shifts):

	Start Time	Finish Time	# Employees
First Shift (M-F)			
Second Shift (M-F)			
Third Shift (M-F)			
Saturday			
Sunday			

B. When this AF is activated, how many hours per day and days per week will it operate?

	Start Time	Finish Time
Monday – Friday		
Saturday		
Sunday		

C. Describe essential functions and number of personnel (per shift) in distinct areas (e.g.: Operations, Finance, Communications and Administration).

D. Include relational activities (e.g., Administration must have an adjoining work area to Finance). Include area (as required for conference rooms, computer rooms, medical treatment/first aid, storage, food services, lodging, etc.).

E. Identify furniture requirements (# of workstations, chairs, cabinets, tables, etc.).

F. If people must stay overnight at the site, indicate the following breakout:

Total: Males: Females:

G. If necessary, the number of meals to be served on site per day?
(One, two, or three per day).

5. Power/ Mechanical Requirements:

A. Facility special electrical power requirements:

- 1) Determine requirements for auxiliary or back-up power sources (generators).
- 2) Determine fuel requirements.
- 3) Determine requirements for multiple substations to the location.

B. Equipment special electrical power requirements (e.g., computer system):
Describe electrical requirements to support equipment environment (NEMA configurations).

C. Equipment define cooling requirements (e.g., computer system):
Define BTU load of all specialized equipment.

6. Telecommunications:

Describe the general requirements for telephone systems as they exist presently and as they would at the AF.

A. Current Voice System:

1. Name of Provider or Carrier?

Local Carrier

Long Distance

2. Type and number of Lines?

Current

Required at AF

Analog (modem/fax)

Digital

Voice Mail

B. Cellular Service:

Name of Service Provider(s):

Maintenance Agreements:

C. Data Requirements:

Category

Current

Required at AF

Dedicated Circuit Requirement

Special Data Requirements

Fiber Accessibility

ISDN

Frame Relay, DSL, ATM

LAN/WAN/MAN

Other:

Notes:

1) Does the agency have Telecommunications Service Priority (TSP)?

Yes No.

2) Virtual office. Are all line, instrument, calling card and access capacity needs met for employees who will be performing in a virtual environment?

Yes No

C. Radio and satellite communication requirements:

7. **Parking:**

A. What is the maximum number of parking stalls that will be required?

Onsite:

Offsite:

within

blocks

9. Security:

A. Does security require sole tenant occupancy of space or allow for occupying a building with other tenants?

Sole tenancy required Multiple tenancy acceptable

B. Is secured storage for equipment required on site?

Yes No

If yes, please describe the requirement

C. Describe requirements for physical and operations security to include armed and unarmed personnel, security fences, security system, card reader access, cleared area around the alternate facility, number of access/egress routes, exterior lighting, access control points, etc.

D. Classified storage requirements Yes No

If yes, please describe the requirement

10. Other Considerations for Alternate Facilities selection or modification. List any other relevant items affecting AF selection here:

APPENDIX B - TAB 1-C: METHODS OF SECURING AN ALTERNATE FACILITY

The actual securing of an alternate facility starts with the department's COOP. Using the department COOP Plan as the reference base, the DAS Alternate Facility Requirements document needs to be completed. This document takes information from department COOP Plans and helps to guide the user in determining what the department needs in its specific alternate facility.

With the DAS Alternate Facility Requirements Form is completed, the department has its base needs set for the alternate facility. (It is important to remember that this facility is anticipated to be operating only the minimum essential operations for a limited period of time. Your normal daily operations will resume at normal levels and office environment as soon as possible.) The department then needs to determine if they have space available that could be used as an alternate facility (See Annex A). If the department has space to be used as an alternate facility, it needs to be noted on the Alternate Facility Requirements Form. If the submitting department does not presently have an alternate facility identified, the department needs to identify what method of occupancy consideration the department wants to pursue in a letter to DAS.

Regardless if an alternate facility is identified or it is needed, the department needs to submit to DAS a copy of the Alternate Facility Requirements Form. If a department has identified an alternate facility, the information will be recorded in a centralized database. If the department needs DAS to assist in the acquisition of an alternate facility, a letter requesting DAS's assistance needs to be sent along with the Form to the DAS, GSE, Property Management, Hoover State Office Building, Level A, Des Moines, Iowa 50319. After review of the information, and as necessary, a recommendation for the minimal requirements for an alternate facility will be sent back to the department identified point of contact. The department will also be sent information on how to complete a Standard Form (Request for Space), which DAS will need to have completed in order to assist any department in acquiring an alternate facility.

i. Department Secured (without DAS/GSE)

a. Agency Owned or Leased:

A department may use one of its own facilities located away from the primary office in a nearby city or State. This facility can be another office (Regional or Field) or training/conferencing facility, so long as there is enough space and the normal operation can be displaced without impacting the department's essential operation.

b. Memorandum of Understanding (MOU):

A Memorandum of Understanding (MOU) can be set up between departments to allow for utilization of space within the other departments during an emergency. The MOU must contain as a minimum the legal address, specific areas within the facility to be occupied, any security requirements, funding or reimbursement agreements, a non appropriation clause, length of occupancy, and the requirement for prompt notification of any changes that would impact the agreement such as space alterations or availability.

ii. DAS/GSE Secured

a. Request for space:

DAS will require each department to submit a completed copy of the Alternate Facility Requirements form, which appears as Appendix B of this document.

b. State-Owned or leased space:

DAS will evaluate the availability of state-owned space and/or leased space depending on the agency's requirements identified in the Alternate Facility Requirements form. If

leased space is justified, negotiations and acquisition will be performed by DAS utilizing the Standard State Lease Agreement.

Appendix B - Tab 1-D: Alternate Facility Re-Evaluation

- i. Purpose. Successful execution of COOP contingency missions depends on the accuracy and the currency of department COOP Plans. Information about an Alternate Facility, the logistics, telecommunications, and power support arranged, routing details, locations and addresses of local resource providers, etc., will all have to be periodically confirmed in order to satisfy accuracy and currency requirements. An organization should establish policy directing the frequency of re-evaluation and providing resources/funding for this to occur.
- ii. Preparation for Re-evaluation. Preparation for re-evaluation is much the same as for preliminary and technical surveys. A thorough understanding of COOP requirements and a review of site documentation are part of the preparation.
- iii. Re-evaluation Team. The re-evaluation team should be structured to provide a full-range of technical capabilities, to include the means for testing telephones and power, measuring and recording changes in the alternate facility or the surrounding location, and reassessing local threat conditions.
- iv. Post-Re-evaluation Actions. Invariably, some information about and conditions at the alternate facility will change.
 - a. When changes occur, you must determine whether the changes are so significant as to cause the alternate facility to be unsuitable for use or essential operations must be amended.
 - b. A plan to respond to changes must be developed. Usually this will consist of documentation changes required and suspense dates for completion. In more extreme cases, an in-depth re-evaluation of the suitability of the alternate facility is called for, or a plan for additional modifications is needed.
 - c. Provisions for back filling unsuitable alternate facilities.

- 22. AF On-Site POC Name: () -
- 23. AF On-Site POC Phone Number: () -
- 24. AF Alternate On-Site POC Name:
- 25. AF Alternate On-Site POC Phone Number: () -
- 26. Telecommunications/Data POC:
- 27. Phone Number: () -

If any information requested above is not applicable please mark N/A.

Additional Information/Explanation of items on previous page:

Item# Information/Explanation

Certification:

An alternate facility has been identified for the above indicated function by means of:

- MOU within the agency
- MOU with another agency

Signature Date of MOU: / /

Expiration Date of MOU: / /

The alternate facility will need to be activated at the onset of an emergency by means of:

- Contacting DAS-GSE for assistance
- Other (Specify)

Date A/F Requirements given to DAS: / /

I hereby certify that all information is correct as of this date

_____/ /
Signature Date

Typed Name of Signatory Title

APPENDIX B - TAB 1-F: UNDERUTILIZED SPACE

GSE maintains a database of square footages in all State owned and leased facilities on the Capitol Complex and at the seat of government. Information on square footages leased outside the seat of government is also tracked by GSE for the following agencies: DHS, DIA, Education-DVRS, DPS, DOB, DHR, DPH, DRF and Secretary of State. IWD, Board of Regents, DPD and DNR track their agency's leased space outside the seat of government and do not report square footage information to GSE. This form is intended to help identify space outside the seat of government that may be available and appropriate for use as alternate facilities.

The DAS Property Manager may contact those indicating that they have underutilized space for further details.

Department/Agency Name:

Facility Address:

Facility: City State

Is Facility in Leased (L) or Government Owned (Gov) Space

If Leased, expiration date: / /

Available Square Footage:

Proposed # of Personnel:

On-Site POC Name: () -

On-Site POC Phone #: () -

Is there already an agreement, formal or informal, to allow another agency to use this space as an alternate facility (AF)? Yes No

If yes, with what agency?

Agency POC Name:

Agency POC Phone #: () -

APPENDIX C: INFORMATION TECHNOLOGY SUPPORT REQUIREMENTS

IT Support Requirements:

In the Essential Applications column, please list those applications deemed critical by the department. The Criticality Rating should reflect the essential function criticality rating of the essential function the application supports, as identified in section V of the COOP process.

Please work closely with your IT support specialists to complete the rest of the worksheet.

Under Supporting Hardware, please list all necessary resources (such as a server or other equipment) and whether they are department-owned or the application is stored on equipment provided by another department (such as DAS-ITE, DOT, IWD, etc.) In the final column please identify any network connectivity requirements of the application, such as a connection with the state backbone network or access to the internet or resources on other departments' networks.

Worksheet – IT Support

Criticality Rating	Essential Application	Supporting Hardware	Connectivity Requirements

Each department will complete this worksheet to identify IT Support Requirements.

Worksheet – Summary of Department Interoperability Communications Requirements:

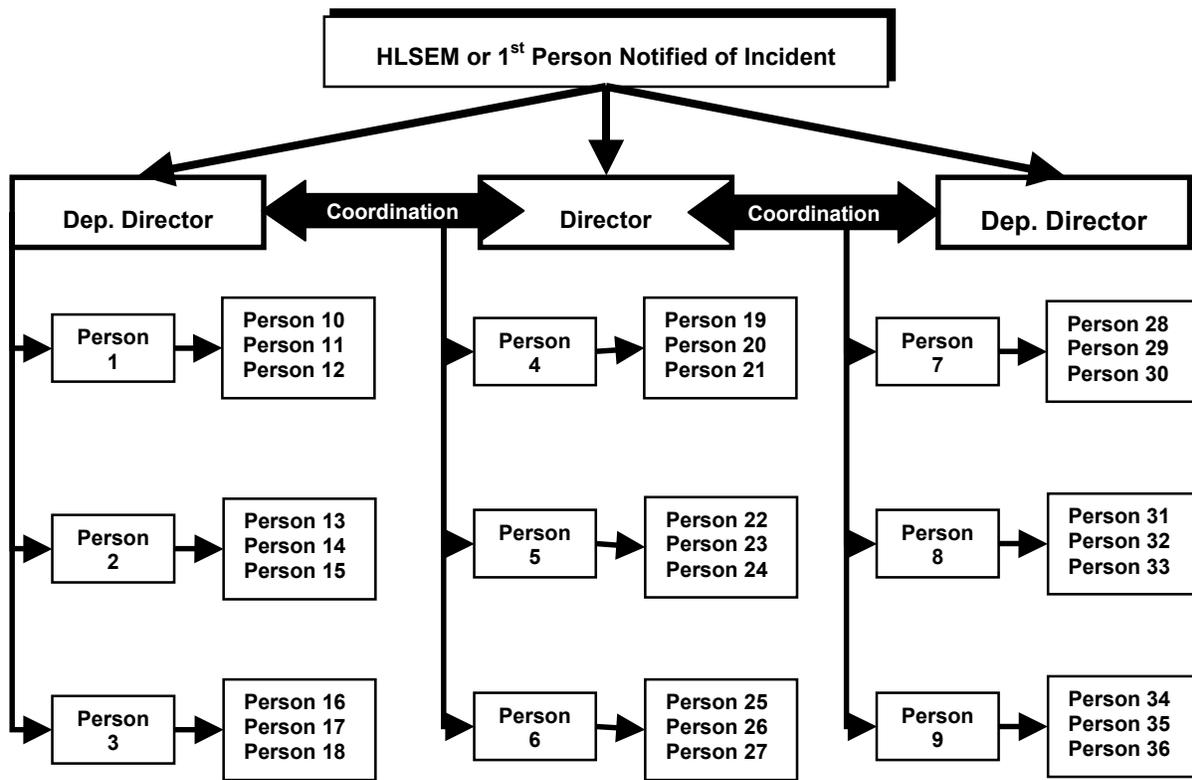
Service	Current Provider	Specifications	Alternate Provider	Special Notes
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
Email				
Internet				
Blackberry				
Instant Messenger				
PDA Wireless Communications				
Handheld Radios				

"NOTE - Please list those applications deemed critical by the department under the Essential Function worksheet heading. Under the heading of IT dependencies list whether resources for this application are provided by department-owned hardware (such as a server or other equipment) or the application is stored on equipment provided by another department (such as DAS-ITE, DOT, IWD, etc.)."

APPENDIX D: AGENCY COOP STAFF CONTACT LIST

Worksheet – Designated COOP Personnel

#	Team / Position	Name	Duty Hour Contact	After Duty Hour Contact	Cell Phone	Pager
	Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
	Dep. Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
	Dep. Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
1	ERG Team Chief	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
2	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
3	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
4	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
5	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>

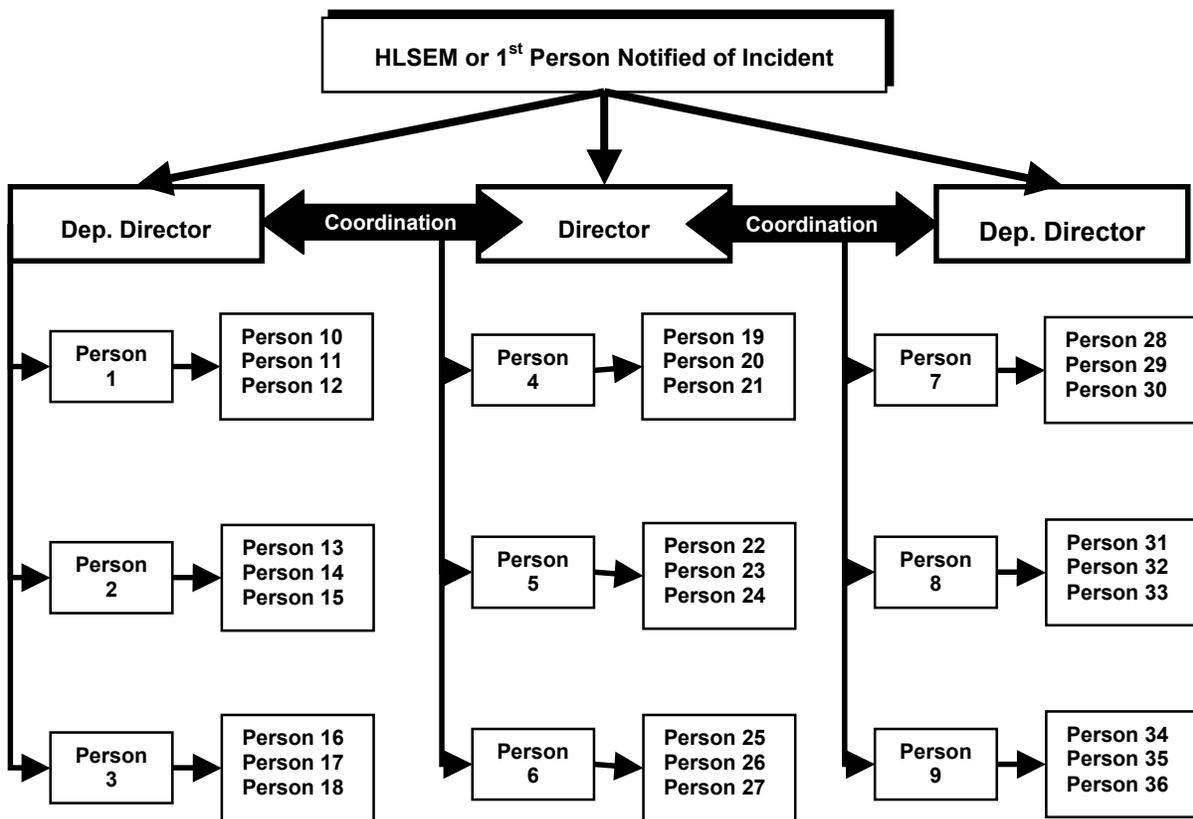


Example Staff Call Tree

APPENDIX E: AGENCY NON-COOP STAFF CONTACT LIST

Worksheet – Non-COOP Personnel

#	Position	Name	Duty Hour Contact	After Duty Hour Contact	Cell Phone	Pager
	Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
	Dep. Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
	Dep. Director	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
1	Non-COOP Coordinator	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
2	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
3	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
4	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>
5	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>	<Inputs here>



Example Staff Call Tree

APPENDIX F: DECISION SUPPORT TEMPLATE

<In this section, you need to lay out, in order, the steps taken to make critical decisions leading to the activation/implementation of your COOP Plan>

Worksheet – Decision Support Template

Step	Information or Event	Time Received	Action	Required Outcome	Date & Time Completed
1	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>
2	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>
3	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>
4	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>
5	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>
6	<Input here>	<Input here>	<Input here>	<Input here>	<Input here>

APPENDIX G: CAPITOL COMPLEX COOP/COG PRIORITIES FOR <NAME OF DEPARTMENT>

<Note: If your department is not located on the Capitol Complex, you need not complete this Appendix>

The Capitol Complex serves as the seat of State Government and houses approximately 5,000 employees. When the Iowa Legislature is in session, the total number of employees and visitors can be approximately 10,000. The Complex is vulnerable to many hazards, all of which have the potential to disrupt the State Government, create damage and cause injury or death to the employees and visitors.

It is possible for a major disaster to occur at any time, and at any place, on the Capitol Complex. In some cases, dissemination of warning and increased preparedness measures may be possible. However, many disaster incidents can, and will, occur with little or no warning.

The anticipated emergencies that might affect the Capitol Complex (such as Bomb Threats, introduction of Chemical and Biological agents, Fire, Hazardous Materials Incidents, Work Place Violence, or Tornado/Severe Storms) have been included in this planning document. However, actual emergencies may not be limited to these anticipated contingencies.

Proper implementation of Capitol Complex Emergency Response Plan can reduce, or prevent, the loss of life and damage to property. Key state officials are aware of the possible occurrence of any emergency, or major disaster, and their responsibilities in the execution of this plan, and will fulfill those responsibilities as needed.

The primary responsibility for the safety and welfare of the Capitol Complex employees and visitors rests with the Governor of Iowa. Because the complex also houses the Legislative and Judicial Branch's of government, they also have a key role. To fulfill this responsibility, all state agencies, including those in the Legislative and Judicial branches, must insure that proper emergency actions are taken in a timely manner and provide for the health and safety of those affected.

In the event of the evacuation of the Capitol Complex, in accordance with the current response plan, the following priorities, as they pertain to COOP and COG are established for <Name of Department>:

Worksheet - <Name of Department> Capitol Complex COOP/COG Priorities

Priority	HQs/Div/Bureau	Task
1	<Inputs here>	<Inputs here>
2	<Inputs here>	<Inputs here>
3	<Inputs here>	<Inputs here>
4	<Inputs here>	<Inputs here>
5	<Inputs here>	<Inputs here>
6	<Inputs here>	<Inputs here>

APPENDIX H: MAPS AND EVACUATION/RELOCATION ROUTES

Department specific maps are enclosed for each COOP/COG alternate worksite.

Maps and evacuation/relocation routes to Alternate “Near Site”:

<Inputs here>

Maps and evacuation/relocation routes to Alternate “Far Site”:

<Inputs here>

Maps and evacuation/relocation routes back to primary site:

<Inputs here>

APPENDIX I: COOP BUILDING LOCATIONS AND FLOOR PLANS

Department specific maps are enclosed in each COOP/COG alternate worksite.

Alternate “Near Site” floor plans and space utilization plan:

<Inputs here>

Alternate “Far Site” floor plans and space utilization plan:

<Inputs here>

Primary “Site” floor plans and space utilization plan (used upon return)

<Inputs here>

APPENDIX J: COOP DRIVE-AWAY KIT CHECKLIST

The contents of the <Name of Department> are shown below:

<COOP Drive-Away kits should be maintained and positioned at pre-designated locations by each department element. Consideration should be given to pre-positioning these kits at the alternate work site(s) if feasible.>

Worksheet – HQs Elements

Item	Quantity
<Inputs here>	<Inputs here>

Worksheet – <Name of Division>

Item	Quantity
<Inputs here>	<Inputs here>

Worksheet – <Name of Bureau>

Item	Quantity
<Inputs here>	<Inputs here>

APPENDIX K: AFTER-ACTION-REPORT TEMPLATE

Following the occurrence of an actual event or a training event, each participating element will conduct, or participate in, a formal after-action review and prepare an after-action-report. A copy of this report should be submitted to the department HQs no later than 30 days following each event.

<The text indicated below is a general outline that will be used by all elements>.

- i. Executive Summary
 - a. Identifying strengths to be maintained and built upon;
 - b. Identifying potential areas for further improvement; and
 - c. Recommending exercise follow-up actions;
- ii. Strengths—Key strengths identified during this exercise include the following:
 - a. Areas for Improvement
 - b. Chapter 1: Exercise Overview
 1. Exercise Name
 2. Duration
 3. Exercise Date
 4. Sponsor
 5. Type of Exercise
 6. Funding Source (Agency Receiving Funding)
 7. Program Focus:
 - Response
 - Recovery
 - Prevention
 - Other
 8. Classification
 - Unclassified (U)
 - For Official Use Only (FOUO)
 - By Invitation Only (IO)
 9. Scenario
 - Chemical release or threat (C)
 - Biological release or threat (B)

___ Radiological release or threat (R)

___ Nuclear detonation or threat (N)

___ Explosive detonation or threat (E)

___ Cyber (Y)

___ Other/Specify (O)

10. Location

11. Participating Organizations:

A. Cosponsors

I. Local Agencies: List any local agencies that sponsored the exercise.

II. State Agencies: List any State agencies that sponsored the exercise.

III. Federal Agencies: List any federal agencies that sponsored the exercise.

IV. Contract Support (if applicable): Name of Consulting Firm

B. Participants

I. Federal Agencies: List any federal agencies participating in the exercise.

II. State Agencies: List any State agencies participating in the exercise.

III. Local Agencies: List any local agencies participating in the exercise.

12. Number of Participants

A. Players _____

B. Victim role players _____

C. Controllers _____

D. Evaluators _____

E. Observers _____

13. Exercise Overview

The exercise was designed to <input here>

14. The exercise consisted of <input here>

15. Exercise Evaluation:

c. Chapter 2: Exercise Goals and Objectives

1. Goal 1:

- A. Objective 1.2:
- B. Objective 1.2:
2. Goal 2:
 - A. Objective 2.1:
 - B. Objective 2.2:
 - C. Objective 2.3:
3. Goal 3:
 - A. Objective 3.1:
 - B. Objective 3.2:
 - C. Objective 3.3:
 - D. Objective 3.4:
 - E. Objective 3.5:
- d. Chapter 3: Exercise Events Synopsis
 1. Scenario
 2. Executive Tabletop Component
- e. Chapter 4: Analysis of Mission Outcomes
 1. Emergency Management
 2. COOP ERG
- f. Chapter 5: Analysis of Critical Task Performance
 1. Task I
 - A. Issue 1
 - B. Reference
 - C. Summary of Issue
 - D. Consequence
 - E. Analysis
 - F. Recommendations and Improvements
 - I. Recommendation 1
 - II. Action 1

- III. Action 2
- IV. Action 3
- 2. Task 2
 - A. Issue
 - B. Summary
 - C. Recommendations and Improvements
 - I. Recommendation 1
 - II. Action 1
 - III. Action 2
- g. Conclusions
 - 1. Exercise participants demonstrated an initial capability to <input here>.
 - 2. Exercise participants completed < input here >.
 - 3. Sites and treatment centers < input here >.
 - 4. Exercise participants identified several lessons learned < input here >.

APPENDIX L: CHECKLISTS

The <Name of Department> has established the following checklists as tools to aid in the execution of the department COOP plan. <Input Required>

- i. Personal preparedness drive-away kit checklist
- ii. Personal preparedness at-home kit checklist
- iii. Leadership – Top 10 Immediate Actions checklist
- iv. Continuity of Government – succession of an elected official checklist
- v. Continuity of Government – succession of an appointed official checklist
- vi. Notification of next-of-kin and family support checklist
- vii. Others as desired

APPENDIX M: EMERGENCY RESPONSE PLANS

- i. The Iowa Capitol Complex Emergency Response Plan is an Addendum to the Iowa Emergency Response Plan, and shall be used as a part of that plan. The Iowa Emergency Response Plan outlines actions to be taken by State Government and other participating organizations that work together to establish response capabilities, and to maximize the effectiveness of a State response.

The Iowa Emergency Response Plan does not attempt to deal with those incidents that happen on a daily basis, which can routinely be handled by emergency responders and state employees. Likewise, this appendix provides copies of requisite plans that outlines responsibilities and describes operations to be implemented during an emergency response at the Capitol Complex.

It is not the intention of this Appendix to replicate those plans. However, it is imperative that departments ensure that current response plans are maintained in the appropriate locations for use during a COOP event.

- ii. Primary work site: (Copies of these plans are located at the primary work facility and should be reviewed and incorporated into COOP planning. Without updated and integrated Response Plans, the implementation of COOP Plans will be more difficult; and if poorly executed, may aggravate the situation or induce implementation of COG procedures).
 - a. Fire Evacuation
 - b. Tornado
 - c. Bomb Threat
 - d. Bomb or Suspicious Package
 - e. Shelter-in-Place
 - f. White-Powder or Suspicious Substance
 - g. Others as Desired
- iii. Alternate work site: (Copies of these plans should be posted in this section of department plans. Additionally, copies should be maintained in department COOP fly-away kits)
 - a. Fire evacuation
 - b. Tornado
 - c. Bomb Threat
 - d. Bomb or Suspicious Package
 - e. Shelter-in-Place
 - f. White-Powder or Suspicious Substance
 - g. Others as Desired

APPENDIX N: DEFINITIONS AND ACRONYMS

DEFINITIONS

The following terms, used within this plan, are defined here as a means to facilitate the reader's understanding of the contents of this plan:

Activation of the COOP Plan: The initiation of the process of executing the COOP plan, whether in whole or in part.

Agency Head: The highest-ranking official of the primary occupant agency or successor or designee selected by the official.

Alternate Site/Facility/Location: A location, other than the normal facility, used to carry out essential functions in a COOP situation. The alternate facility to which the ERG/COOP team will deploy to continue essential functions in the event the building is threatened or incapacitated.

Automated Data Processing (ADP) Equipment: Equipment that performs data processing largely by automatic means.

Collateral Damage: Injury to personnel or damage to facilities that are not the primary target of attack.

Consumable Office Supplies: General supplies that are consumed in office use.

Continuity of Government (COG): A coordinated effort within each branch of government to ensure the capability to fulfill minimum essential responsibilities in a catastrophic emergency to ensure the capacity to maintain an enduring constitutional government.

Continuity of Operations (COOP): Internal organizational efforts to ensure that a viable capability exists to continue essential functions across a wide range of potential emergencies through plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training and exercises.

Continuity of Operations Plan: A plan that provides for the continuity of essential functions of an organization in the event an emergency prevents occupancy of its primary building. It provides the organization with an operational framework for continuing its essential functions when normal operations are disrupted or otherwise cannot be conducted from its normal headquarters.

COOP Event: Any event that causes an agency or department to relocate operations to an alternate site to assure continuance of its essential functions.

COOP Point of Contact (POC): These are the staff designated by the leadership of an organizational element or component that would be the main point of contact for all COOP related issues.

COOP Phases: The three levels of operations implemented in response to an emergency or any other situation that disrupts normal operations. The phases are implemented sequentially and include: Activation and Relocation, On-Site Operations, and Reconstitution.

Critical Infrastructure Protection (CIP): Risk management actions intended to prevent a threat from attempting to, or succeeding at, destroying or incapacitating critical infrastructures. Critical infrastructures are those systems and assets so vital to the nation that their incapacity or destruction would have a debilitating impact on national security, national economic security and/or national public health or safety.

Delegation of Authority: Specifies who is authorized to act on behalf of the department/agency head and other key officials for specific purposes.

Devolution: The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Drive-Away Kit: A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment.

Emergency Coordinator: This is the key official, usually senior, appointed within an organizational element or higher who serves as the coordinator for all response plan and Incident Management System COOP related issues.

Emergency Operating Records: Records that support the execution of an agency's essential functions.

Emergency Relocation Group (ERG): Pre-designated principals and staff members who will move to an emergency relocation site to continue essential functions in the event the building is threatened or incapacitated.

Emergency Relocation Site: See Alternate Site/Alternate Location.

Emergency Support Team: An interagency group that provides general coordination support for response activities in the field. It is responsible for coordinating and tracking the deployment of initial response resources and other responder support items to the field. It is the central source of information at the headquarters level regarding the status of ongoing and planned disaster operations.

Enduring Constitutional Government (ECG): A cooperative effort among the Executive, Legislative and Judicial branches of government, coordinated by the President/Governor, to preserve the capability to execute constitutional responsibilities in a catastrophic emergency.

Emergency Relocation Group (ERG) member: A person assigned responsibility to report to an alternate site, as required, to perform agency essential functions or other COOP related operations.

Essential Functions: Functions that enable government Agencies to provide vital services, exercise civil authority, maintain the safety and well being of the general populace and sustain the industrial/economic base during an emergency.

Essential Resources: Resources that support the government's ability to provide vital services, exercise civil authority, maintain the safety and well being of the general populace and sustain the industrial/economic base in an emergency.

Executive Agent: A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administration and support or coordinating common functions, or it may be delegated authority, direction and control over specified resources for specified purposes.

Homeland Security Exercise and Evaluation Program (HSEEP): The HSEEP provides an approach, methodology and evaluation guides for the evaluation of performance of critical homeland security tasks during exercises. The HSEEP documents identify a set of tasks, primarily for response at the state and local levels. The HSEEP approach and methodology will continue to be used for performance-based exercises.

Implementation of the COOP Plan: The execution of the phases defined in the COOP plan.

Information Technology: See Addendum 1 to this glossary for additional IT terms and definitions.

Interagency Agreements: A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Interoperability: 1. The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. 2. The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

Interoperable Communications: Alternate communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Legal and Financial Records: Records that are needed to protect the legal and financial rights of the government and of the persons affected by its actions.

Mission Critical Data: Information essential to supporting the execution of an agency's essential functions.

Mission Critical Systems: ADP equipment essential to supporting the execution of an agency's essential functions.

Multi-year Strategy and Program Management Plan: A process that ensures the maintenance and continued viability of COOP Plans.

Non-specific Threat: Refers to a threat condition being implemented for a national declaration.

Occupant Emergency Plan (OEP): A short-term emergency response program that establishes procedures for safeguarding lives and property.

Office for Domestic Preparedness (ODP): Part of the United States Department of Homeland Security responsible for management of homeland security grant programs and the development of preparedness levels and standards.

Orders of Succession: Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Originating Facility: The site of normal, day-to-day operations; the location where the employee usually goes to work.

Reconstitution: The process by which surviving and or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

Risk Analysis: The identification and assessment of hazards and threats.

Specific Threat: Refers to a threat condition being implemented for a specific region or sector.

Telecommuting Locations: Those locations set up with computers and telephones that enable employees to work at a location closer to their house than their main office.

Test, Training and Exercises (TT&E): Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the duration of a COOP situation.

Universal Task List (UTL): The UTL defines the essential tasks to be performed by federal, state and local governments and the private sector to prevent, respond to and recover from a range of threats from terrorists, natural disasters and other emergencies. A critical step in identifying and building required capabilities is to understand what homeland security tasks need to be performed. The UTL provides a common task-based language and reference system and encourages a systematic approach to planning and training. It also provides an objective basis for assessing preparedness through evaluation of critical task performance during exercises or real events.

Virtual offices: A location or environment where an employee performs work through the use of portable information technology and communication packages.

Vital databases: Information systems needed to support essential functions during a COOP situation.

Vital records: Electronic and hardcopy documents, references and records needed to support essential functions during a COOP situation. The two basic categories of vital records are emergency operating records and legal and financial records.

Weapons of Mass Destruction (WMD): Weapons that are capable of a high order of destruction and/or of being used in such a manner as to cause injury or death to large numbers of people. Weapons of mass destruction can be high explosives or nuclear, biological, chemical, and radiological weapons.

Work-at-home: When an employee carries out their work duties at their residence rather than their official duty station.

ACRONYMS

AAR	After-Action Report
A&L	Administration and Logistics
ALE	Automatic Link Establishment
APS	Auxiliary Power Supplies
CAP	Corrective Action Program
CBRNE	Chemical, Biological, Radiological, Nuclear, Explosive
CDC	Centers for Disease Control and Prevention
CFR	Code of Federal Regulations
CIP	Critical Infrastructure Protection
COG	Continuity of Government
COOP	Continuity of Operations
COTS	Commercial Off-the-Shelf
DAE	Disaster Assistance Employee
DAS	Department of Administrative Services
DEST	Domestic Emergency Support Team
DHS	Department of Homeland Security
DISC	Disaster Information Clearing House
DPH	Department of Public Health
DRF	Disaster Relief Fund
EAS	Emergency Alert System
ECG	Enduring Constitutional Government
EEO	Equal Employment Opportunity
EMA	Emergency Management Agency
EMS	Emergency Medical Services
EO	Executive Order

EOC	Emergency Operations Center
EP&R	Emergency Preparedness and Response
ERG	Emergency Relocation Group
ERS	Emergency Relocation Site
EST	Emergency Support Team
FCO	Federal Coordinating Officer
FCP	Forward Command Post
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
FPC	Federal Preparedness Circulars
FSE	Full-Scale Exercise
GSA	General Services Administration
GSE	General Services Enterprise
HF	High Frequency
HSA	Homeland Security Act
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSOC	Homeland Security Operations Center
HSPD	Homeland Security Presidential Directive
HQ	Headquarters
IO	Invitation Only
IPR	In-Progress Review
IFMIS	Integrated Financial Management Information System
IMT	Incident Management Team
IT	Information Technology
ITS	Information Technology Services
IGA	Intergovernmental Affairs
JIC	Joint Information Center
LC	Logistics Center
M&IE	Meals and Incidental Expenses
MOU	Memorandum of Understanding

NAWAS	National Warning System
NDMS	National Disaster Medical System
NEMIS	National Emergency Management Information System
NFIP	National Flood Insurance Program
NPGE	Not Printed at Government Expense
NPSC	National Processing Service Center
NRP	National Response Plan (formerly Federal Response Plan)
OAD	Office, Administration and Division
ODP	Office for Domestic Preparedness
OEP	Occupant Emergency Plan
PDD	Presidential Decision Directive
PIO	Public Information Officer
POC	Point of Contact
POV	Privately Owned Vehicle
RSS	Receiving, Staging, and Storage
SEOC	State Emergency Operations Center
SIMCELL	Simulation Cell
SNS	Strategic National Stockpile
S&R	Salvage and Recovery
SP&R	Site Preparation and Recovery
STE	Secure Telephone Equipment
STU	Secure Telephone Unit
T&A	Time and Attendance
TT&E	Test, Training and Exercise
U	Unclassified
UHF	Ultra High Frequency
UPS	Uninterrupted Power Supply
US&R	Urban Search and Rescue
UTL	Universal Task List
WMD	Weapon of Mass Destruction
Y2K	Year 2000

APPENDIX N - TAB 1: INFORMATION TECHNOLOGY UNIQUE TERMS AND DEFINITIONS

ATM (Asynchronous Transfer Mode) - Asynchronous Transfer Mode is a connection-oriented protocol that uses very short fixed-length (53 bytes) packets called cells to carry voice, data and video signals. By using a standard cell size, ATM can switch data via software. Hence, ATM can route and switch its traffic at higher speeds.

Backbone - The ICN backbone includes the HUB, the centralized switching center of the Network, interconnecting the HUB with all Part I and Part II endpoints throughout the State by digital links for two-way transmission of 45 megabit video, voice and data for State, education and administrative purposes as defined in the Iowa Code, Chapter 8D. Iowa's fiber optic network backbone is like the trunk of a tree with many branches reaching out to communication sites.

Bandwidth - A measurement of capacity that determines the rate information can be transmitted across the medium. These rates are measured in bits (bps), kilobits (kbps), megabits (mbps), or gigabits (gbps) per second. Typical transmission services are 64 kbps, 1.544 mbps (T-1) and 45 mbps (T-3/DS-3).

Bps (bits per second) - The number of binary digits transmitted per second in a data communications system.

Broadband - A facility or circuit that has bandwidth in excess of that required for high-grade voice communications.

Channel - A communication path established between two or more institutions.

Compressed Video - Compressed video, as commonly used at the ICN, is 1/28th of the ICN standard education video bandwidth. Used mainly for telemedicine, compressed video can link rural hospitals to urban counterparts for such telemedicine services as physician conferences, diagnoses, consultations and the rapid transmission of X-rays, CAT scans and ultrasound studies. Compressed video is satisfactory for teleconferencing but limited in its use for the classroom.

CPOP (County Point of Presence) - Similar to a POP.

DAX (Digital Exchange) - A computerized digital cross connect that allows one or more specific channels from high-capacity lines to be split out separately and redirected.

DCC-45 (Digital Cross Connect) - A switch within the network that connects full motion video classrooms.

Dedicated Connection - A point-to-point data transmission circuit to be used by a designated client only and is not shared by other clients. Also called dedicated circuit.

Dial Tone - The sound provided from the ICN switch to the client's phone signaling that the line is capable of making a connection. Dial tone is provided as part of voice service or POTS.

Dial-up - The process of or the facilities involved in establishing a temporary connection via a switched telephone network.

Digital - In data communications, digital describes the binary ("1/10") output of a computer or terminal. Modems convert the pulsating digital sounds into analog waves for transmission over conventional telephone lines.

Direct Connection - A circuit from a client to an ICN POP. Examples include, but are not limited to: addition of a PVC that requires the addition of a physical circuit; addition of long distance voice services that require a connection from a client switch to an ICN switching device; and installation of circuits to enable full motion interactive video services.

Distance Education - Ability to establish a learning situation across wide geographical distances. Teacher and students may be located in two or more classrooms. With fiber optics capability, participants can interact in a two-way voice and video interactive environment.

DMS 500 (Digital Multiplex System) - DMS 500 is the switching system used for all of the voice, data and dialable wideband video services offered by the ICN.

DNS (Domain Name Service) - an Internet service that provides translations between Domain Names (www.icn.state.ia.us) and the IP addresses (165.206.53.250) used by Internet Routers.

DS-0 - DS-0 is the designation for a digital signal for 64 kbps. It is the digital equivalent of one normal telephone line. Measures the speed information can be transmitted.

DS-1 - DS-1 is the designation for a digital signal for 1.544 million bps. A digital transmission format in which 24 telephone line equivalents are multiplexed into one DS-1 channel. A DS-1 and a T-1 are equivalent. Measures the speed information can be transmitted. Video transmitted at this speed is 1/28th of the DS-3 that approximates full motion.

DS-3 - DS-3 is the designation for a digital signal for 44.736 million bps. A telephone term describing the 44.736 million bps signal carried on a DS-3 facility. One DS-3 equals 28 DS-1s or 672 DS-0s. Measures the speed information can be transmitted. A DS-3 and a T-3 are equivalent. Video transmitted at this speed approximates full motion.

Equal Access - The ability to choose between the different carriers for a long distance provider. Some local exchange carriers are serviced by only one long distance carrier.

End Point Locations - Refers to ICN POP locations that are the farthest points from Node and Non-Node Sites. Many of these sites are known as Part III sites. These sites are connected by either ICN owned or leased fiber paths. These paths may be dark fiber connections or bandwidth dictated service, normally DS-3, from a telecommunications vendor. End Point Locations include; National Guard Armories, High/Jr High/Middle Schools, Grade Schools, State Agencies, Hospitals, Clinics or Area Educations Agencies, Libraries, Federal Sites or other ICN Authorized Customers. Currently, there are over 775 sites defined as End Point Locations. Network configuration and maintenance definition is subject to change at any time.

Ethernet - The industry standard protocol for coaxial cable LANs. Ethernet has a transfer rate of 10 Mbps and is also used in twisted pair wires and WANs.

Exchange - Exchange is a switching center, or the area where a common carrier furnishes service at the exchange rate. Under required regulations, exchange rates must be prescribed in the carrier's filed tariffs.

Feature - That which ICN provides which is functional and beneficial to a customer, and must depend upon a service to be operational. Types of features: Voice Mail, ACD, Call Processing, Call Forwarding, Roll Over Lines, Referral Messaging, or Conference Bridging.

Fiber Optics - The technology using thin strands of glass to propagate transmission signals. The maximum bandwidth at which a fiber optic cable can transmit signals has yet to be determined.

FOTS (Fiber Optic Terminal System) - Each site has a FOTS room where fiber enters the building. Signal regeneration equipment that recognizes and interprets the incoming light signal into new, stronger pulses of light is often found in the FOTS room.

FRAL (Frame Relay Access Link) - A physical circuit that connects two portions of frame relay equipment.

Frame Relay - A communications method for connecting computer systems (Local Area Networks) via data routers and switching data more efficiently by use of a Cascade Switch. Data is divided and compressed into packets of information allowing more than one person to access the same physical circuit simultaneously.

Full Motion Video - A video channel utilizing MPEG 2.

Hub - Network description where each location is connected to a central point. The ICN HUB is located at the JFHQ Armory, Johnston, IA.

ICN (Iowa Communications Network) - See Network.

IEC or IXC (Interchange Carrier) - Any carrier registered with the FCC authorized to carry customer transmissions between LATAs interstate. In addition, if approved by a State public utility commission, intrastate which includes carriers such as AT&T, MCI, or US Sprint.

Inside Wiring - Wiring which goes beyond the Demarc.

Interactive - Live communications with either two-way audio and video, or two-way audio and one-way video, and allows for question-and-answer capabilities.

Interactive Video - Capability to transmit and receive two-way (full duplex) video transmissions between originating site and remote classrooms. ICN two-way video is interactive.

Internet - Network of computer networks, linking computers from colleges and universities, government agencies, institutions and commercial organizations worldwide. It is the largest international computer network in the world.

Internet Subscription - ICN service that provides access to the Internet via a gateway.

IPTV - Iowa Public Television.

ISDN (Integrated Services Digital Network) - ICN service that allows a variety of switched digital data and voice transmissions to be accommodated simultaneously. Networking concept that provides subscribers with end-to-end fully digital communications.

ITTC (Iowa Telecommunications and Technology Commission) - Governing body established by Senate File 2089 during the 1994 Legislative Session. Made up of five voting members and an ex officio member (State Auditor). Voting members are appointed by the Governor and confirmed by the Iowa Senate.

LAN (Local Area Network) - Is a geographically limited data communications system capable of sharing hardware and software. LANs are typically restricted to within a building or adjacent buildings within the same campus.

LAPB (Link Access Protocol Balanced) - A data link layer protocol for X.25.

LATA (Local Access Exchange Area) - Geographic service area where long distance service within the LATA is provided by the LEC. Long distance service between LATAs is provided by an IEC.

LEC (Local Exchange Carrier) - Carrier providing local dialing, switching and data transmission services to customers within a LATA. LECs have monopolies with LATAs.

LOA (Letter of Authorization) - A document from a client granting permission to carry toll free and long distance traffic.

Mbps (mega bits per second) - Measure of the number of bits of data transmitted in a second, where mega (M) is one million bits.

Meshed - Network description where each location is connected to all other locations in a WAN.

Multiplexer/ Mux - Equipment that allows two or more signals to pass over and share a common transmission path.

Narrowcast - Transmission of programs to a specifically defined audience normally using the newer technology delivery systems. Sometimes referred to as a target audience, a limited audience, or a "narrow" audience, hence the name "Narrowcast."

News Service - Newsgroups are a means of "public discussion". Newsgroup articles (messages) look like e-mail, but they can be read (potentially) by millions of people all over the world using software that follows a protocol called NNTP.

Network - Iowa Communications Network consisting of the HUB (JFHQ Armory); interconnecting the HUB with all Part I endpoints (regional switching centers, Regents Institutions, and other Part I endpoints); Part II endpoints (secondary switching centers); and Part III endpoints (schools, libraries and area education agencies). Includes State and Federal government administration sites.

Node Site - Refers to ICN POP aggregation locations that reside on the Network fiber rings that have switching, repeating, multiplexing and ring topology equipment. These Node Sites pass traffic to Non-Node Sites and aggregation locations. These sites may also pass traffic directly to an End Point Location or to local telecommunication vendors. Node Sites may be located in sites called Part I, Part II or Part III. Fiber paths connecting the Node Sites are connected with ICN owned fiber optic cable. Currently, there are approximately 54 network node sites. Network configuration is subject to change at any time.

Non-Node Sites - Refers to ICN POP aggregation locations that do not reside on the Network fiber rings. These sites may also pass traffic directly to an End Point Location or to local telecommunication vendors. Non-Node Sites may be located in sites called Part I, Part II or Part III. Fiber paths connecting the Non-Node Sites are connected with ICN owned fiber optic cable. Non-Node Sites are located at High/Jr High/Middle Schools, Grade Schools or Area Education Agencies, or other ICN authorized customers. Currently, there are approximately 75 non-node sites. Network configuration is subject to change at any time.

Off-net - Term describing a circuit that goes through an ICN switch and through a LEC cloud before reaching the ICN backbone.

On-net - Term describing a circuit which goes through an ICN switch but does not go through a LEC cloud before reaching the ICN backbone.

Part I - Involved the installation of a Network Control Center at the JFHQ Armory in Johnston and the linking of Iowa's three Regents Universities, 15 community colleges, Iowa Public Television and the State Capitol Complex.

Part II - Involved creating a point of presence in each of the remaining 84 Iowa counties by connecting to the 15 community colleges.

Part III - Involved expanding the Network to other authorized users within the counties, such as schools, libraries and area education agencies.

PIC (Primary Interexchange Carrier) - A telecommunications provider chosen by the customer which automatically carries their long distance calls. ICN is a PIC as well as an IXC.

Pick Group - In voice service, a predefined group of lines.

Point-to-Point - Circuit that directly connects two points. There are generally no intermediate processing nodes or computers, although there could be switching facilities (e.g., a phone line circuit that links two and only two logical entities).

POP (Point of Presence) - A remote facility from which services are distributed.

POTS (Plain Old Telephone) - Service which provides the ability to place a phone call.

PPP (Point-to-Point Protocol) - An Internet standard protocol for transmitting IP packets and used in router-to-router and host-to-network connections. PPP can encapsulate several network layer protocols such as IP, IPX and AppleTalk.

Primary DNS- A server the Network uses as first choice for resolving Domain Names.

PVC (Permanent Virtual Circuit) - A point-to-point data transmission circuit included within a physical circuit or FRAL. PVCs permit customers to transmit data while sharing the physical circuit with other authorized users of the ICN. Commonly referred to as frame relay circuits.

Real Time - Capture, processing and presentation of data at the time the data is originated.

Regional Switching Centers - Part I endpoints providing interconnectivity for Part II endpoints and Part III endpoints.

Repeater - A device that introduces gain into a circuit.

Ring Topology - Network structure whereby a connection between devices is arranged in a physical ring.

Router - Sophisticated, protocol-specific device that passes data between LANs by examining the data and selecting the most efficient of all available routes.

Scheduling - Process of reserving sessions for DS-3 full-motion video via regional schedulers or ISDN compressed video via video engineer.

SDLC (Synchronous Data Link Control) - A network protocol capable of point-to-point, multipoint or loop structuring.

Secondary DNS - A server that provides a "mirror" image of the Primary DNS server, and acts as a backup in case the primary fails.

SMDS (Switched Multi-megabit Data Services) - A fast packet-switching communications standard using fixed-sized cells with a transfer rate of 1.544 Mbps to 45 Mbps.

SONET (Synchronous Optical Network) - American and international standard for transmission of digital signals.

Standard Service - A service that appears on the SORD that has a clear and consistent definition, delivery process and pricing policy. One of ICN's objectives is to have all services defined as either standard services or temporary standard services.

Subscription - A service category that includes standard services which are functional, beneficial and billable to a customer and must depend upon a transmission service to be operational. Types of subscriptions include Internet and router.

SVC (Switched Virtual Circuit) - A temporary circuit for data transmission.

Switch - Computers or electromechanical devices that connect transmissions to their destination points.

T-1 - Part of transmission service providing a transmission rate of 1.544 Mbps or equivalent to 24 DS-0 circuits.

Telecommunications - Communications process that allows the transmission of information from a sender to a receiver by means of an electromagnetic or lightwave medium.

Teleconferencing - Conference of two or more people linked by telecommunications. It can be audio only, video one-way and audio the other, or video both ways.

Telejustice - Use of a telecommunications system for conducting both State and Federal judicial proceedings such as hearings.

Telemedicine - Use of a telecommunications system for purposes of health care. Telemedicine can link rural hospitals to urban counterparts for such services as physician conferences for diagnoses and the rapid transmission of X-ray film, CT head scans and ultrasound studies.

Temporary Standard Service - A service that has a clear and consistent definition but does not need to appear on the rate sheet. Temporary standard services are billed on a case-by-case basis. All ICN services are defined as either standard services or temporary standard services.

Token Ring - A LAN set up that uses a "token" to grant transmission access to sequentially ordered stations within the network.

Topology – The overall configuration of a network.

Traffic - Volume and intensity of transmitted signals on a communications channel.

Transmission - Sending and receiving of a telecommunications signals.

Transmission Service - A service category that includes standard services providing for the sending and receiving of information from one point to another. This includes all components necessary for connecting and maintaining a connection. Types of transmission protocols: X.25, PPP, SDLC, SMDS, LAPB, Ethernet, Frame Relay, ISDN, Token Ring and ATM.

Trunk - A backbone circuit that connects switches.

Video Conferencing - Real-time, usually two-way, transmission of digitized video images between two or more locations.

Virtual Circuit - Network facilities that give the appearance of an actual end-to-end circuit in packet switching. A dynamically variable network connection where sequential user data packets may be routed differently.

Voice Service - A service category that includes standard services providing inbound and/or outbound calling ability. Types of voice services: Local Dialing, Long Distance, Toll Free, Standard Calling Card and Toll Free Calling Card.

WAN (Wide Area Network) - Network of computer devices separated by a large geographical area.

X.25 - A widely used packet switching protocol that defines standard physical, datalink and network layers in public switched networks. X.25 is the predecessor to frame relay and ATM.

APPENDIX O: COOP PLAN REVIEW CHECKLIST AND CERTIFICATION OF COMPLETION

Worksheet - <Name of Department> Plan Review Checklist

(Note: Some planning elements may not be applicable to your specific COOP/COG operations. Please denote if that is the case.)

Planning Element	Agency Plan Reference
Essential Functions	
1. Essential functions are listed and prioritized.	<Inputs here>
2. Staffing requirements for each essential function are identified.	<Inputs here>
3. Resource requirements for each essential function are identified.	<Inputs here>
4. Critical data and data systems for each essential function are identified.	<Inputs here>
5. Support activities are addressed as part of essential functions.	<Inputs here>
6. Plans exist for attaining operational capability within 12 hours.	<Inputs here>
7. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.	
Line of Succession	
1. Line of succession is established for the agency's highest position of authority.	<Inputs here>
2. Line of succession is established for the other leadership positions.	<Inputs here>
3. Limitations on delegate authority are listed.	<Inputs here>
4. Line of succession is included in the plan.	<Inputs here>
5. Rosters of trained personnel with authority to perform essential functions and activities are maintained.	<Inputs here>
6. Rules and procedures for implementing order of succession are established.	<Inputs here>
7. Rules and procedures for order of succession include initiating conditions, notification methods and terminating conditions.	
Alternate Facilities	
1. Immediate capability exists to operate under potential threat conditions including WMD threats.	<Inputs here>
2. Sufficient space and equipment to sustain the relocating organization is identified.	<Inputs here>
3. Pre-positioned resources are identified or contingency contracts are established with appropriate resource providers.	<Inputs here>
4. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers and the public.	<Inputs here>
5. Alternate facilities provide for logistics support, services and infrastructure systems (e.g., water, electrical power, heating and air conditioning).	<Inputs here>
6. Plan contains provisions to sustain operations for a period of up to 30 days.	
7. Plan addresses considerations for a period of up to 30 days.	
8. Plan addresses physical security and access controls.	

Interoperable Communications	
1. Procedures/plans exist for communications with COOP/COG contingency staff, management and other organizational components.	<Inputs here>
2. Procedures/plans exist for communications with other agencies and emergency personnel.	<Inputs here>
3. Procedures/plans exist for access to data and systems necessary to conduct essential activities and functions.	<Inputs here>
Vital Records and Databases	
1. Essential emergency operating plans, including line of succession; delegation of authority; staffing assignments; policy or procedures records are identified.	<Inputs here>
2. Essential legal/financial records, such as accounts receivable; contracting and acquisition files; official personnel files; Social Security, payroll, retirement, and insurance records and property management and inventory records are identified.	<Inputs here>
3. Provisions for classified or sensitive data are included.	<Inputs here>
4. Procedures for data backup and restoration are included.	<Inputs here>
5. Location and accessibility to vital records are identified.	<Inputs here>
Tests, Training and Exercises	
1. Plans include annual individual and team training of agency COOP/COG emergency personnel.	<Inputs here>
2. Plans include annual agency testing and exercising of COOP/COG plans and procedures.	<Inputs here>
3. Plans include quarterly testing of emergency alert and notification procedures.	<Inputs here>
4. Plans include refresher orientation for COOP/COG staff.	<Inputs here>
5. Plans include inter-agency exercising of COOP/COG plans where applicable and feasible.	<Inputs here>
Plans and Procedures	
1. Procedures for employee advisories, alerts and COOP/COG plan activation are included.	<Inputs here>
2. Provisions for personnel accountability throughout the duration of the emergency are included.	<Inputs here>
3. Procedures exist for an annual review of this agency COOP plan and the ability to make any needed revisions.	<Inputs here>

Continuity of Operation Certification of Completion

I/We certify that a Continuity of Operations (COOP) Plan exists at <Name of Department> and that this plan contains the elements as listed in the checklist above.

Plan Coordinator Signature

Date

(Printed Name)

Department Director Signature

Date

(Printed Name)

SECTION XIII – ANNEXES - DETAILED “COOP/COG IMPLEMENTATION PLANS”

As part of the <Name of Department> Continuity of Operations (COOP) and Continuity of Government (COG) Plan, each Sub-Annex (to be called Chapters) to the Department COOP/COG Plan are the individualized, detailed “COOP/COG Implementation Plans” from each element of the Department identified. Copies of each plan will be maintained in each Division/Bureau/Office and a copy will be provided to the Department COOP/COG coordinator for safekeeping.

When directed to do so, each Division/Bureau/Office will utilize the “Implementation Plan Template”, located at Appendix N, in the State COOP/COG Planning Guidance Document to complete their individualized plans.

Additions to Annex <__> are as follows: <this annex number is the number assigned your department>

- Chapter 1 <Name of Division/Bureau/Office>
- Chapter 2 <Name of Division/Bureau/Office>
- Chapter 3 <Name of Division/Bureau/Office>
- Chapter 4 <Name of Division/Bureau/Office>
- Chapter 5 <Name of Division/Bureau/Office>

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